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THESIS

AN ANALYSIS OF CURRENT ORGANIZATIONAL DEVELOPMENT EFFORTS IN THE UNITED STATES COAST GUARD

by

Clifford Lee Samuel

September, 1978

Thesis Advisor: R.L. Forbes, Jr.

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The Coast Guard, like the Department of Defense services, is faced with the problems of system-wide social change and the need to manage the integration of individual and organizational goals. A comparitive/descriptive analysis of preliminary and institutionalized OD efforts by the various U.S. Armed Forces to respond to these social pressures is presented. The purpose of this study is to provide inputs and recommendations for general policy use by Coast Guard planners, in light of the Defense Services' efforts, regarding the feasibility,

20. (continued)

establishment, and management of a Coast Guard OD Program.

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AN ANALYSIS OF CURRENT ORGANIZATIONAL DEVELOPMENT EFFORTS IN THE UNITED STATES COAST GUARD

by

Clifford Lee Samuel
Lieutenant, United States Coast Guard Reserve
B. A., San Diego State University, 1972

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TABLE OF CONTENTS

I. INTRODUCTION 8
A. GENERAL BACKGROUND 8
1. Overview 8
2. Service Implications 10
3. Proactivity 12
B. THESIS 13
C. PURPOSE OF STUDY 13
D. LIMITS AND CONSTRAINTS 13
II. A GENERAL BACKGROUND OF OD 17
A. INTRODUCTION 17
B. UNDERLYING THEORY AND VALUES OF OD 17
1. Historical Antecedents Of OD 17
2. Change 26
3. System Theory And Approach 29
4. Active Systems Model 35
5. Definitions Of OD 38
6. A Typology Of OD Techniques 46
7. Military OD 56
III. METHODOLOGY 60
A. STUDY DESIGN 60
B. SOURCE MATERIAL COLLECTION 64
C. ANALYSIS MATRIX 67
IV. PROGRAM ANALYSIS 69
A. INTRODUCTION 69
B. PRE-INSTITUTIONAL ANALYSIS 69
1. Pre-Institutional - Navy - Structure. 69
2. Pre-Institutional - Navy - Task.... 71
3. Pre-Institutional - Navy - Technology. 73

4. Pre-Institutional - Navy - People.. 75
5. Pre-Institutional - Other - Structure.
76
6. Pre-Institutional - Other - Task... 80
7. Pre-Institutional - Other - Technology.
83
8. Pre-Institutional - Other - People. 86
9. Pre-Institutional - USCG - Structure .
87
10. Pre-Institutional - USCG - Task ... 94
11. Pre-Institutional - USCG - Technology .
99
12. Pre-Institutional - USCG - People . 106
C. INSTITUTIONAL ANALYSIS..... 109
1. Institutional - Navy - Structure... 109
2. Institutional - Navy - Task..... 112
3. Institutional - Navy - Technology.. 115
4. Institutional - Navy - People..... 117
5. Institutional - Other - Structure.. 118
6. Institutional - Other - Task..... 123
7. Institutional - Other - Technology. 127
8. Institutional - Other - People..... 130
9. Institutional - USCG - Structure... 132
10. Institutional - USCG - Task..... 137
11. Institutional - USCG - Technology.. 139
12. Institutional - USCG - People..... 142
V. CONCLUSIONS AND RECOMMENDATIONS..... 144
A. CONCLUSIONS 144
B. RECOMMENDATIONS 146
Appendix A: COAST GUARD OD EFFORT SURVEY QUESTIONNAIRE..... 151
Appendix B: ORGANIZATION OF THE COAST GUARD..... 155
Appendix C: CCGD12 HRM PILOT PROJECT PROPOSAL.... 156
Appendix D: HRC/F COLLATERAL DUTY SOLICITATION... 158
Appendix E: CCGD12 MILITARY CIVIL RIGHTS/HUMAN RELATIONS CONFERENCE COMMENTS..... 160

Appendix F: COMMANDANT APPROVAL FOR CCGD12 HRM PILOT PROJECT..... 176
Appendix G: CCGD12 ASSESSMENT PROPOSAL..... 177
Appendix H: CCGD14 HRM PROGRAM PROPOSAL..... 179
Appendix I: COAST GUARD-MODIFIED HRM SURVEY..... 185
Appendix J: CCGD12 ORGANIZATIONAL DEVELOPMENT QUESTIONNAIRE..... 193
Appendix K: USN HRM SURVEY..... 205
LIST OF REFERENCES 213
INITIAL DISTRIBUTION LIST 220
LIST OF FIGURES 221

I. INTRODUCTION

A. GENERAL BACKGROUND

1. Overview

The Twentieth Century has seen amounts of change sufficient to stagger the imagination. The United States has come from a horse-and-buggy era at the turn of the century to moon-walks by astronauts in the 1970's. The resulting industry required to develop and sustain today's modern, complex society has profoundly affected the old status quo of human life. Regarding the changes in the complexity of modern life, Dr. Warren Bennis (1969) notes the following facts:

a. Productivity per man-hour is doubling every 20 years as opposed to doubling every 40 years as it did 30 years ago.

b. The time lag between technical discovery and commercial application is approximately 9 years vice 30 years, as it was before World War I.

c. Approximately ninety-three percent of all the scientists in the history of the world are alive today.

Dr. Richard Beckhard (1969) further relates:

d. More new knowledge in technology has been

developed in the last ten years than in the history of mankind.

e. It is estimated that most scientists and engineers are technically obsolete ten years after graduation from school.

f. The shortened time for communications has resulted in a "shrinking" of the world community in terms of information flow and its impact.

g. The very nature of work and its role in human life is undergoing redefinition. Studies of young people entering organizations suggest that work and career are not as central a life preoccupation as once was the case (Schein, 1977).

While there is some debate over whether or not a "generation gap" exists in society, an exhaustive study of contemporary Navy and civilian population attitudes by Dr. David Ecwers (1975) indicated that today's young person generally holds rather traditional values towards personal independence and material success. What was noticed was a sharp difference between age groups towards acceptance of autocratic behavior styles and beliefs.

In addition to the aforementioned quantum leaps of technology and industry, one can see that the rate of change is also increasing. In his book Future Shock , Toffler (1970) describes the adverse effect that this increasing rate of change has on individuals. This rate of change is linked to the widespread psychological problems observed in modern society.

The issues and implications of a changing American society, coupled with a rapidly advancing technology have

created massive social problems for modern organizations. The resulting turmoil has been expressed in terms of dissent, racial and sexual unrest, drug and alcohol abuse, and an overall loss of respect for traditional institutions and norms.

2. Service Implications

The Coast Guard, along with her sister Armed Services, has not been immune to these changes or problems. The service has felt the impact of a number of different disruptive conditions in recent years. Among these difficulties are included:

a. Increased racial tension in the late 1960's and early 1970's. Two extensive surveys (National Urban League, 1974; Advanced Research Resources Organization, 1977), showed that significant numbers of Coast Guard minority personnel were dissatisfied with service life.

b. These aforementioned surveys indicated that problems existed in the enlisted ranks, particularly junior enlisteds, regarding career counseling, upward communications, and belief that positive change can occur.

c. The role of women in the Coast Guard has dramatically changed. There has been increased demand from and more participation of women in actual day-to-day operations. The Coast Guard has moved from being the most female-underrepresented service to the most radical in its employment of its military women in the space of three years. These changes, such as the unrestricted assignment of women afloat and to isolated duty, has not been without significant problems.

d. The Coast Guard is also apparently having

increasing difficulty in the retention and promotion of qualified, first-term junior enlisted personnel (COMDT(G-PE), 1977; Siler, 1978).

e. There has been an increased awareness within the Coast Guard leadership towards social change and the need for effective human resource planning and management. A recent study of the long-range prospects facing the Coast Guard (Randle, 1977) indicated the following:

> "...Social variables will impact not only on our missions and regulatory activities per se, but upon the lifestyles of our clientele and our own personnel...There will be a modification of the work ethic, as more leisure time and shorter work weeks are sought. Flexible work schedules and/or four-day work weeks will become common in government and the private sector...In our jobs, we will seek more meaningful and rewarding work, integrating personal goals with those of the organization."

The report goes on to state:

> "Concern for the human factor will be one of the most important, if not the most important, considerations underlying all of our activities in the coming years. We have no hope of achieving our objectives without such consideration.... There are indications that significant morale problems could be encountered in the coming years as a result of workloads, changing mission emphasis, slower promotions, the economic picture, theatened erosion of military benefits, and in general, a decline in the rewards of service life. Every effort will be made to forelay against such

possibilities."

3. Proactivity

Modern managers of organizations, faced with concerns much like those aforementioned are turning for guidance to behavioral sciences to provide approaches to the solutions of these problems. The main requirements levied on the social scientists are for obtaining workable management techniques and to provide approaches to the solutions of operational problems. One such behavioral science approach to organizational problems has come to be generally known as Organization Development (OD). The United States Army, Navy, and Air Force have been developing and operating internal OD programs to assist service managers with social changes and problems in their units. These services are attempting to integrate the technology of behavioral and management science into the fabric of military life in order to achieve flexible organizations capable of meeting mission requirements while satisfying human needs (Umstot, 1978).

The Coast Guard , too, has developed several efforts to cope with many of the social and human resource management problems facing the service. These efforts include:

a. The Office of Civil Rights and its attendant Civil Rights/Human Relations Program.

b. The Coast Guard Leadership and Management School (CGLAMS).

c. Several local OD efforts performed as pilot projects or adjunct to a local Civil Rights program.

B. THESIS

The Coast Guard, like the Defense services, is faced with the problems of system-wide social change and has established certain efforts to respond to those problems. In addition, there are pilot projects exploring alternative approaches to the constructive adaptation of the Coast Guard to these social pressures.

C. PURPOSE OF THIS STUDY

The purposes of this study are to:

1. To compare and contrast the Coast Guard's preliminary OD efforts, in a macro-level, systematic fashion, with those of the major United States military services. Primary emphasis will be on the Navy's program as that service is closest to the Coast Guard in function, organization, and outlook.

2. To provide inputs of information and recommendations for general policy use by Coast Guard planners in decisions regarding the OD program. feasibility, establishment, and management of a comprehensive Coast Guard Human Resources Management Program.

D. LIMITS AND CONSTRAINTS OF THIS STUDY

The limitations and constraints affecting this study may be classified as follows: those regarding the systematic framework chosen to analyse the various OD programs; the nature of the data utilized in supporting that framework; observer bias; the nature of the reference materials; the classification of the military as a modern social institution; and the organizational and functional differences between the Coast Guard and the other armed services.

The systematic framework chosen to analyze the various OD programs has certain limitations and biases, but has the advantage of being well-recognized in professional OD literature as a logical approach to system comparison.

The Coast Guard study data and reference materials were gathered during and after the various efforts' lifetimes. Due to the volume, methods of gathering, and recent nature of the data, specific tests of authenticity were not conducted.

Observer bias existed in that the observer was an associate member of one OD effort, has definite ideas and conceptualiztions toward planned social change, is a member of the Coast Guard, was personally close to several of the Coast Guard efforts' members, and personally chose methods to selectively gather data.

The institutional category relates to the problems that Forbes (1973) has noted with equating the military to modern institutions:

> "Its missions are circumscribed by the civilian leadership of the government and access to its ranks is regulated by federal statute. Organizational membership is not freely terminable

as in most American social institutions and its personnel are subject to a controlled system of discipline. Legal regulation of its personnel is through the Uniform Code of Military Justice, which is distant from civil laws. Its membership of ethnic populations is only approximately similar to that of the general population. There is some evidence that its institutional values may be different from those of the civilian population."

Lastly, a distinction should be made between the organizational character of the Coast Guard as a military service in contrast to the Department of Defense (DoD) forces. Officially recognized as an armed force by Congress in 1915, the Coast Guard serves as an agency of the Department of Transportation (DoT) in peacetime or as a specialized service in the Navy during wartime. The service is a small organization by DoD standards: 38,000 active duty personnel, 11,300 selected reservists, and 7,000 civilians. Although the Coast Guard most nearly resembles the Navy in terms of heritage, culture, physical environment, and wartime mission, the service radically differs from the rest of the military establishment in that it is the only U. S. military force with a defined peacetime role. Its mission areas can be subsumed under the following general headings: (1) enforcement of applicable Federal laws in the maritime environment, including environmental protection; (2) to ensure safety of life and property on the high seas and on waters subject to Federal jurisdiction; (3) to operate the nation's aids to navigation systems; and (4) to maintain a state of military readiness. From the foregoing, it can be readily determined that the Coast Guard is organizationally unique as a Federal agency: it combines a military orientation and structure to a role which

interfaces with the public to a degree unknown in the DoD services. It may be just this orientation and structure which lends itself so well to the fulfillment of Coast Guard tasks, that may also contribute to the perplexing nature of the social difficulties. However, these differences in Coast Guard makeup from the other armed services may also limit, to some extent, the validity of the change effort comparisons and recommendations made in this study.

II. A GENERAL BACKGROUND OF OD

A. INTRODUCTION

This chapter deals with the related literature and concepts pertinent to the comparison of service theory and historical antecedents of OD; The areas covered include (1) a discussion of underlying theory and history of OD efforts. (2) a definition of OD; (3) and finally, development of limited typology of OD practices pertinent to current military OD programs.

B. UNDERLYING THEORY AND VALUES OF OD

1. Historical Antecedents of OD

In describing a systematic approach to OD, it is important to explore certain historical antecedents that provide insight into how man has conceptualized and managed his organizations. While not intended to be comprehensive or overly detailed, this section will attempt to highlight the development of organizational theory leading up to the introduction of behavioral science as an approach to the problems and issues of management. Finding solutions to organizational problems and issues confronting managers provides primary impetus for theory building. One of the initial issues facing early organizations was one of

productivity. This need for increased production became the fertile soil from which many of the classical theories arose. As a solution for the increasingly productive capabilities of industry, classical theory translated into managerial action succeeded in a remarkable fashion. However its closed system, all-variables-accounted-for, one-best-way approach succeeded at a high price - a considerable human cost. Some of the negative, unintended outcomes experienced by classical theory organizations included individual isolation, alienation, high turnover, absenteeism, industrial conflict, and decline in production quality. In short, the highly organized, rigidly controlled organizations provided jobs that weren't satisfying to the human beings who worked in them. Subsequent developments in organizational theory such as neoclassical, modern, and contingency theories have attempted to create changes in organizational practices to more fully reflect the humanistic needs of workers and still meet the requirements of organizations for quality and production (Moutor and Blake, 1972).

The beginnings of modern organizational theory are to be found in the development of the Classical Theory movement (Hicks and Gullett, 1975). Begun in the late 1800's, three distinct sets of concepts were independently developed. The conceptual approaches continue to have profound effects in today's modern, complex organizations. The first of these theories, Bureaucracy, was introduced by Max Weber around 1900 and principally concerned itself with the description of organizational structure, hierarchy, and relationships.

The second approach to classical theory concepts was made by Frederick Taylor. Taylor introduced his scientific management techniques with a primary goal of improvement in industrial productivity. The scientific management approach

emphasized the division, analysis and streamlining of each worker's job by management for efficiency's sake. It also distinctly separated the planning and execution functions of work. The final contributor to classical theory was Henri Fayol who introduced his principles of administrative theory in 1916. This theory focussed on the functions of management which Fayol divided into categories of planning, organizing, directing, and controlling.

In all, classical theory had both its scholarly and practical elements, and embodied both micro and macro views. Bureaucracy and administrative theory are primarily oriented to a macro view, or "big picture", of the organization while management science focussed more heavily on the micro viewpoint, down to the point of individual job analysis. Management science and administrative theory were primarily influenced by writers whose interest lay in the improvement of organizational efficiency. Bureaucracy was developed by scholars and took a detached, descriptive viewpoint. On the whole, classical theory can be said to deal primarily with the structure of formal organizations (Hicks and Gullett, 1975). This theoretical emphasis on structure was aimed at producing mechanistic solutions to the problems of management and eliminate or compensate for the inefficiency of the human elements in organizations (Mouton and Blake, 1972).

The impersonality of the classical theory approach, however, came under increasing criticism in later years by more humanistically oriented writers and theorists. During the 1920's and 1930's a new approach to management theory was advanced: the Neoclassical Theory, sometimes referred to as the "Human Relations Movement." Crystallizing in the famous Hawthorne Experiments under the direction of Elton Mayo, the neoclassical approach asserted the function and importance of human elements in the productivity of

organizations. Essentially, neoclassical theory was compatible with and built upon the foundations of classical theory with the exception of one significant point. Where classical theory made a "rational man" assumption, regarding economic factors as the sole motivators of work behavior, neoclassical theory asserts that individual and social factors are profoundly important aspects of motivation. Three important elements contributing to organization function are handed down to us from neoclassicalism: (1) the uniqueness of each individual along with the importance of his feelings and adjustment; (2) the centrality tc the individual of the ncrms, values, and influence cf the informal organization as embodied in his wcrk group; (3) the notion that participative management can result in an increase in worker satisfaction and productivity. This last element led the human relations movement to place extreme emphasis on the importance of morale (or worker satisfaction) in organizational functioning. Ironically, where classical theory came under criticism for overstressing structure and productivity at the expense of human welfare, the human relations movement is criticized for promoting worker welfare at the expense of production (Hicks and Gullett, 1975). The next logical step in organization theory development was to integrate production and human factors, along with other considerations, into its formulation for effective organization.

The 1940's were a time of great flux for organization theory. New concepts and techniques such as von Bertalanffy's General Systems Theory (von Bertalanffy, 1968) and operations research impacted strongly upon managerial perspectives. During this same time, psychological and sociological research were beginning to impact more heavily upcn existing theories of management. By the 195C's, a general theory (sometimes called systems analysis) of organizational functioning had evolved. While

no widely accepted unifying general theory currently exists, modern theories include characteristics of the systems approach, dynamic process, multi-dimensionality, reliance on probabilistic laws, descriptiveness, adaptiveness, and being multidisciplinary in approach (Hicks and Gullett, 1975).

It is the multidisciplinary nature of modern theory which characterizes the present study with its focus on OD as an instrument of beneficent change in modern organizations. The remainder of this section will outline key theoretical points and historical developments from the behavioral sciences. These factors will build upon the neoclassical approach as well as more recent management theories.

Many of the theoretical roots of OD may be found in the work of the human relations movement. Building upon the neoclassical writings of Elton Mayo, F. J. Roethlisberger, and William J. Dickson, which stress the importance of individual differences, work-group interaction, and participative decision-making, the humanistically oriented movement in management thought sought to show why, how, and where organizations needed to change. Humanistic psychologist, Abraham Maslow, in his now-classic hierarchy of needs concept (Maslow, 1970) suggested that as society progressed to where the more basic needs of food, shelter, and security were met, the worker's needs for greater human satisfaction would emerge. This new motivational concept coupled with the inadequate attention given the human factor by classical theory, created pressure for organizational changes and job redesign (Hicks and Gullett, 1975). Further, Chris Argyris has suggested that poorly designed work setting can be counterproductive to the needs of human workers for self-actualization with resulting negative impact on organizations (Argyris, 1971).

Behavioral science studies conducted the 1940's, 1950's, and 1960's produced theory especially relevant to OD. One of these was Douglas Mc Gregor's (1960) idea of two contrasting managerial philosophies, theories X and Y. These theories described the spectrum of assumptions management can make regarding the nature of workers and the impact of those assumptions on management behavior. Theory X assumes that people dislike work, are passive, avoid responsibility, are lacking in leadership qualities, are self-centered, and are change-resistant. Under these assumptions, management's response tends to be highly structured, coercive, authoritarian, and requiring of intense supervision to counter these attitudes. At the other end of the continuum, Theory Y assumes that people receive gratifications for self-direction and goal-seeking in work as well as in play. Further, people will respond positively by working harder and accepting more responsibility to the extent that personal needs and goals are met through contributing to organizational goals. Management's response under this set of assumptions should be to seek job enrichment and encourage the acceptance of responsibility on the part of workers.

Another important writer of this period, Chris Argyris (1962), found that job-centered management, characterized by a negative dependence, can produce worker alienation. The cause for this alienation is rooted in an underutilization of worker abilities and the lack of interpersonal skills on the part of managers. Use of job enlargement and interpersonal skills training (such as T-groups and the use of descriptive feedback) were recommended for resolution of the dependency state and improvement of organizational health.

Researcher Rensis Likert emphasized an organizational development approach as an out growth of his

empirical studies of organizations. He offered four categories of organizations called Systems 1,2,3, and 4, to describe the move from an authoritarian management (System 1) to participative management (System 4) (Hicks and Gullett, 1975).

Approaching the study of management from the discipline of attitude measurement, Likert explored systems of management and compared them with one another for their human and operational consequences (Mouton and Blake, 1972). System 1 is called the Exploitative-Authoritative system and is characterized by being purely production-oriented, putting reliance in fear and threat as supervisory techniques. System 2 is characterized as Benevolent-Authoritative and uses both extrinsic rewards and fear of punishment as motivators. System 3, considered the Consultative system, uses both reward and punishment as motivators but begins to introduce some participation in managerial decision-making. The last, and ideal, Likert system is System 4: the true participative management style. Likert's research correlated organizational effectiveness with progress toward System 4. His writings encourage progression of organizations towards a System 4 state and envisioned OD as a means to assist in that transition.

Robert Blake and Jane Mouton (1964) attempted to systematize two managerial leadership concerns, that of concern for production and the human element, into a design for OD. By arranging these two concerns into a grid, they were able to present a framework for identifying and measuring leadership styles. Use of this grid in a formal six staged OD package attempted to improve organizations by moving leadership behavior towards a more teamwork oriented design.

Frederick Herzberg develcped controversial theories

regarding the types and effects of motivation in organizational settings (Herzberg, 1959) In his work, Herzberg showed that some elements of jobs previously considered to be prime motivators, such as salary, pensions, nice offices, etc., were in fact maintenance or "hygiene" factors. The absence of these hygiene factors will lead to dissatisfaction in workers, but their presence is not thought to contribute to satisfaction. Instead, the true motivators, called "satisfiers," consist of elements of the job itself which lead to achievement, personal growth, and responsibilities. While in no way conclusive, Herzberg's work has managed to underscore the distinctions between the types and effectiveness of organizational rewards.

Lastly, the need for contingency approaches in organizational planning and design has been epitomized by Paul Lawrence and Jay Lorsch (Lawrence and Lorsch, 1969). Their work, along with previous related contingency theorists' writings (Emery and Trist 1960; Woodward 1958) indicated a need to consider the nature of the environment and the organization's interface with it when developing an organizational style. They found, generally, that in a stable environment a highly-structured classical style is effective. However, if the environment is unstable, a more participative, humanistic design seems indicated.

The area of management theory known as "Organization Development" was greatly influenced by the life and social psychological theories of Kurt Lewin (Morrow, 1969). His efforts and energy gave strong impetus to the development of two important approaches to thrusts of OD: (1) laboratory training and (2) survey research and feedback. Educated at the University of Berlin prior to WW I, Lewin was profoundly influenced by the Gestalt movement in psychology. However, his primary interest did not lie in the area of perception, as did the mainstream of Gestalt thought, but in the area of

motivation (Schallenberg, 1978). Lewin's contribution to psychological theory was the concept of psychological fields of forces, which he postulated as acting as determinants of behavior. This development required new tools for conceptualization and Lewin borrowed the topological notation of non-quantitative spacial relations to represent his theory. This field theory, along with Lewin's notions on change (discussed elsewhere in this chapter), lent itself admirably to applied endeavors.

In 1944, Lewin founded the Research Center for Group Dynamics at the Massachusetts Institute of Technology, which later moved to the University of Michigan and subsequently became known as the Institute for Social Research (ISR). ISR has become a leading institution for social psychology, survey research, and pioneered the field of survey-guided development as a major OD approach. In 1946, Lewin was instrumental in conducting a series of workshops on interracial awareness in Bethel, Maine. These workshops led to the founding of the National Training Laboratories (now the NTL Institute for Applied Behavioral Science). NTI has been the leading force of the sensitivity-training (or T-group) movement in OD (French and Bell, 1972).

From 1947 to 1957, T-groups grew greatly in popularity as instruments of personal growth and increasingly began to appear as salient features of many corporate training programs. As early as 1957, the term "Organization Development" appeared in several scientific journal articles and the movement began to take on a more distinct thrust towards impacting on the problems of dynamics of ongoing organizations (French and Bell, 1972). Early pioneers in the use of OD (with both internal and external consultants employed) have been organizations such as ESSO, Union Carbide, TRW Systems, Republic Aviation, Saga Foods, and the Naval Ordnance Test Station at China Lake.

The other major thrust of OD, Survey Research and Feedback, has had a somewhat parallel history to laboratory training. A prototype of this approach was noted in the use of questionnaire feedback to improve management techniques at the Detroit Edison Company in 1948 and with the Weldon Manufacturing Company in 1962.

2. Change

The concept of constructive organizational change is fundamental to the both the need for and the basic aim of OD. Change may be thought of as a time-dependent, dynamic process in which the status quo of an object or system achieves a state different from that which it entered the change process. Kurt Lewin (Hornstein et. al., 1971) conceptualized the process of social change in three stages:

a. Stage 1: Unfreezing - the decreasing of forces maintaining some status quo or balance of forces. In a social context, this means the reduction in strength of group variables such as values, attitudes, norms, or other behaviors which maintain the object of change and the creation of motivation to change.

b. Stage 2: Change - the actual movement from one state of being to another. In a social sense, this represents the acquisition of new behaviors, values, or attitudes based upon the motivations generated in Stage 1.

c. Stage 3: Refreezing - the securing of the new state-of-being to a state of equilibrium. This may be accomplished by the use of group pressure as an internalized standard of self-control.

Change may be further viewed as either random or

planned (Forbes, 1973). Random change occurs naturally as a response to internal or external pressures and is subject to probabilistic laws. Planned change takes place as a result of deliberate intent and action on the part of an agent. In an organizational setting, Chin and Benne (1969) view planned change as the conscious utilization and application of knowledge as an instrument or tool for modifying patterns and institutions of practices. Under this concept, three categories of change strategy may be observed: (1) Power-Coercive; (2) Empirical-Rational; (3) and Normative-Re-educative.

The Power-Coercive strategy involves the use of raw power, influence, or physical force to effect system change. This approach is traditionally associated with government, legal, and legislative methods of assuring human compliance to requirements. Power-Coercive techniques are based upon the exercise of power by one party upon another based on hierarchical position, information, or personal influence.

The Rational-Empirical model of change begins with the assumption that man is rational and behaviorally responsive towards optimum considerations. Through the use of applied research, knowledge, and utopian thinking and models, man is able to discern the truth and will change towards it. Change techniques involve system analysis, sociometrics, staff consultants, personnel replacement and selection techniques, and perceptual reorganization through language clarification (semantics). Thus, one way to deal with prejudice, for instance, is to expose people to information which disallows biased belief. In this change conceptualization obtaining the necessary knowledge or understanding will automatically result in alterations in attitudes and behavior.

The final category of change strategy is classified

as the Normative-Re-educative approach. This view relies upon a cultural application of the scientific method. Recognizing both the rational and irrational aspects of man, change efforts can take the shape of self-understanding, self-control, self-awareness, action research, training, and action through collaborative efforts in groups. Man's needs as a social and learning organism figure prominently in this general strategy. Elements of the Normative-Re-educative strategies include a systems approach to change, nonreliance upon a priori solutions to change, exposition of non-conscious elements in the environment, and the use of behavioral science in the change process. Examples of fields utilizing this strategy are psychotherapy, laboratory training, counseling, and action research.

Finally, change efforts may be focussed at either the individual (one person) or group levels (Hornstein et. al., 1971). Individual change, as a mediator of organizational change, has intuitive appeal.It can serve to create a temporary environment supportive of organizational change. Individuals are responsible for performing the day-to-day operations of an organization, so that any changes to the individual's values, knowledge, or behavior (assuming that those variables can be directly affected) should result in system change over the long run. This approach is characterized by programs such as study courses, sensitivity training, and human relations laboratories. These approaches typically remove the individual from normal surroundings. Some weaknesses of the individual approach lie in (1) the difficulty in transfering the training from the temporary learning environment to the working one; (2) establishment of a "critical mass" of changed individuals in order to bring about organizational change (i.e., which and how many people must be changed?);(3) the possible overlooking of social (normative) influence on behavior and how that influence can restrict or inhibit individual

expression of change.

Group-focussed approaches to change follow more closely to the aforementioned Lewinian notion of change. This approach seeks to employ modern social technology to achieve organizational change in both groups and individuals by recognizing and utilizing group-level phenomena. In recognizing that individual's resistance to change is maintained so long as group standards are at variance with change aims, group-level strategies attempt to achieve change through alteration of group standards.

OD approaches to change are classifiable, in the main, under the Normative-Re-educative category. OD may take the form of individual change strategies, but in recent years most efforts come to rely most heavily upon the group-level approaches. OD concerns itself in all cases with the human-processural or techno-structural aspects of organizational change (Friedlander and Brown, 1974). Analysis utilizing these two categorizations constitutes the focus of this study.

3. System Theory and Approach

A fundamental concept inherent in comprehending OD approaches is the notion of the organization as a system (Lawrence and Lorsch, 1969; French and Bell, 1973). In order to more fully understand the process of planned change in organizations, it becomes necessary to view the systemic nature and mutually interactive properties of organizations. While no fully satisfactory definition of an organization exists, one view (Friedlander and Brown, 1974) conceives of organizations composed as of: (1) people with differing sets of values, styles, and skills; (2) technologies with differing characteristics; (3) processes and structures

which reflect different kinds of relationships between people or people and their work. This notion of an organization can be seen to be compatible with one well recognized definition of a system as "....a set of objects together with relationships between the objects and between their attributes" (Hall and Fagen, 1968). Thus, an organization can be considered as the result of the interrelatedness and interdependency of the gestalt of its components (French and Bell, 1973). More simply put, all the components of a system affect and are related to each other such that a change in one produces a change in everything else (Hellriegel and Slocum, 1976; Seiler, 1967). This sense of interrelatedness leads us to another major notion of the systems approach: multicausality. It is tempting to try to reduce causation of behavior to one factor or "reason" in an attempt to lessen the impact of often bewildering arrays of possible causes. To do so, however, is to unrealistically ignore the systematic assumption that complex reactions between forces cause events.

The following is a review of general systems theory basic principles which may serve to expand the usefulness of systems concepts to OD

a. Environment

All systems exist or are imbedded in an environment. The environment is a set of objects or forces in which change affects the system and which, in turn, the responses of the system affect the environmental objects.

b. Subsystems

It should be seen from the aforementioned definitions of system and environment that systems may be composed of hierarchically subordinate subsystems and that the distinction between "environment," "system," and "subsystem," depends upon the perspective taken by the viewer. Further, elements of one subsystem may have membership in another. This last point is necessary to understand the overlapping nature of the, at times, arbitrarily described elements of systems put forth by theories of organization and change.

c. System Properties

To further develop the system concept and its relationship to planned change, the following properties of systems are enumerated (Hall and Fagen, 1968):

(1) Open and Closed Systems

An organization is by definition an open system in that it must import energy (or negentropy) as a system input to overcome the loss of energy experienced through its inefficient transactions with its environment. In an organization, these energetic inputs may take the form of information, people, new skills, material, ideas, money and the like.

(2) Adaptability

Systems must have the ability to favorably react to changes in the environment so that continued functioning is assured. Some writers refer to this as the equilibrium (Katz and Kahn, 1966) or homeostatic function of systems. Briefly, it means the tendency of an organization to compensate for changes in the environment

and to maintain a steady internal state. This tendency of systems may be the source of what some observers have waggishly described as the primary function of an organization: to insure its own integrity and survival.

(3) Stability

A system is more-or-less stable according to its ability to coordinate and keep within defined limits certain of its variables or components. Lawrence and Lorsch (1969) describe this property organizationally as integration and regard it as a key feature in an organization's functioning and development. Physically, stability can be compared to motor-coordination: the lack of which is demonstrated in clumsiness, tremor, and ataxia. Organizationally, integration may come in the form of conflict-management mechanisms such as interdepartmental coordinating committees or liaison officers.

(4) Feedback

This refers to a system's ability to regulate its inputs or internal processes on the basis of output or the environment's transactional reaction to output. Organizational examples of feedback include accounting systems or reward/punishment policies for behavior. Understanding and controlling feedback mechanisms can be key features in OD processes.

(5) Morphogenisis

This harmonizing feature allows a system, especially a man-made one such as an organization, to add new parts to itself or to operate in tandem with another system. This ability to differentiate, or allow an organization's form to follow its functions constitutes a

key difference between biological (natural) systems and abstract, man-made ones (Katz and Kahn, 1966). Where an animal cannot adapt to the extent of growing a new leg or head, an organization is under no such constraint when it comes to radical adaptation to its its environment. Obviously, the process of feedback is closely allied with how effectively an organization can manage differentiation. The concept of morphogenisis belies much of the pessimism often expressed towards an organization's ability to change itself and is an optimistic value held by many OD practitioners (Lawrence and Lorsch, 1969).

(6) Optimization

This concept is added parenthetically to that of morphogenisis to underscore the necessity of obtaining the best possible fit of a system tc its environment. However, as with the distinction between system and subsystem, the nature of optimization is as much a function of perspective as it is of efficiency. What constitutes an optimum state for a subsystem may be in fact a detriment to the larger system. An organizational example of this can be found in the condition known as a "means-end inversion."

(7) Equifinality

The principle of equifinality is closely interwoven with the open systems nature of organizations. Briefly, equifinality states "....that an open system may attain a time-dependent state independent of initial conditions and determined only by system parameters" (von Bertalanffy, 1968). Closed systems' outcomes, due to the closed systems' inability to import energy (negentropy) and tendency towards entropy, can be shown to be dependent upon the nature of the initial system content. Thus, a closed

system unequivocably has an optimum, or "one-best-way," process to achieve an optimum final state. In contrast, an open system, due to its negentropic nature of bringing in new inputs from the environment, can be shown to be relatively unaffected by its initial make-up and its outcomes are dependent upon its parameters. In other words, in an open system the final state may be reached from different initial conditions and in different ways (Shibutani, 1968). For an organization, the principle of equifinality relates to its ability to achieve certain outcomes by a variety of means. But because an organization and its environment is an open system that depends upon a great many factors, it is difficult to prescribe optimum courses of action or to predict the exact outcome of an action (Hicks and Gullet, 1975). Even ex post facto, it is difficult to say what actions would have been the best to take.

(8) Law of Requisite Variety

In general systems theory terms, the law of Requisite Variety states that the variety within a system must be at least as great as the environmental variety against which it is attempting to regulate itself (Buckley, 1968). Simply stated, this means that,in order to remain viable, the amount of responses a system has must at least equal the number of conditions it will face in its environment. In other words, variety drives variety. Buckley (1968) explains the necessity for an organization to comply with the Law of Requisite Variety thus:

> "....A requisite of sociocultural systems is the development and maintenance of a significant level of non-pathological deviance (variety) manifest as a pool of alternate ideas and behaviors with respect to the traditional, institutionalized

ideologies and role behaviors. Rigidification of any given institutional structure must eventually lead to disruption or dissolution of the society by way of internal upheaval or ineffectiveness against external challenge."

In order to successfully compete in its environment, an organization must have the ability to cope with the challenges which are presented. This ability to initiate and manage planned change is often the means by which organizations cope with environmental variety. OD represents a body of techniques designed to assist an organization to remain viable.

4. Active Systems Model

To link the foregoing systems concepts, French and Bell's (1973) active systems model is presented

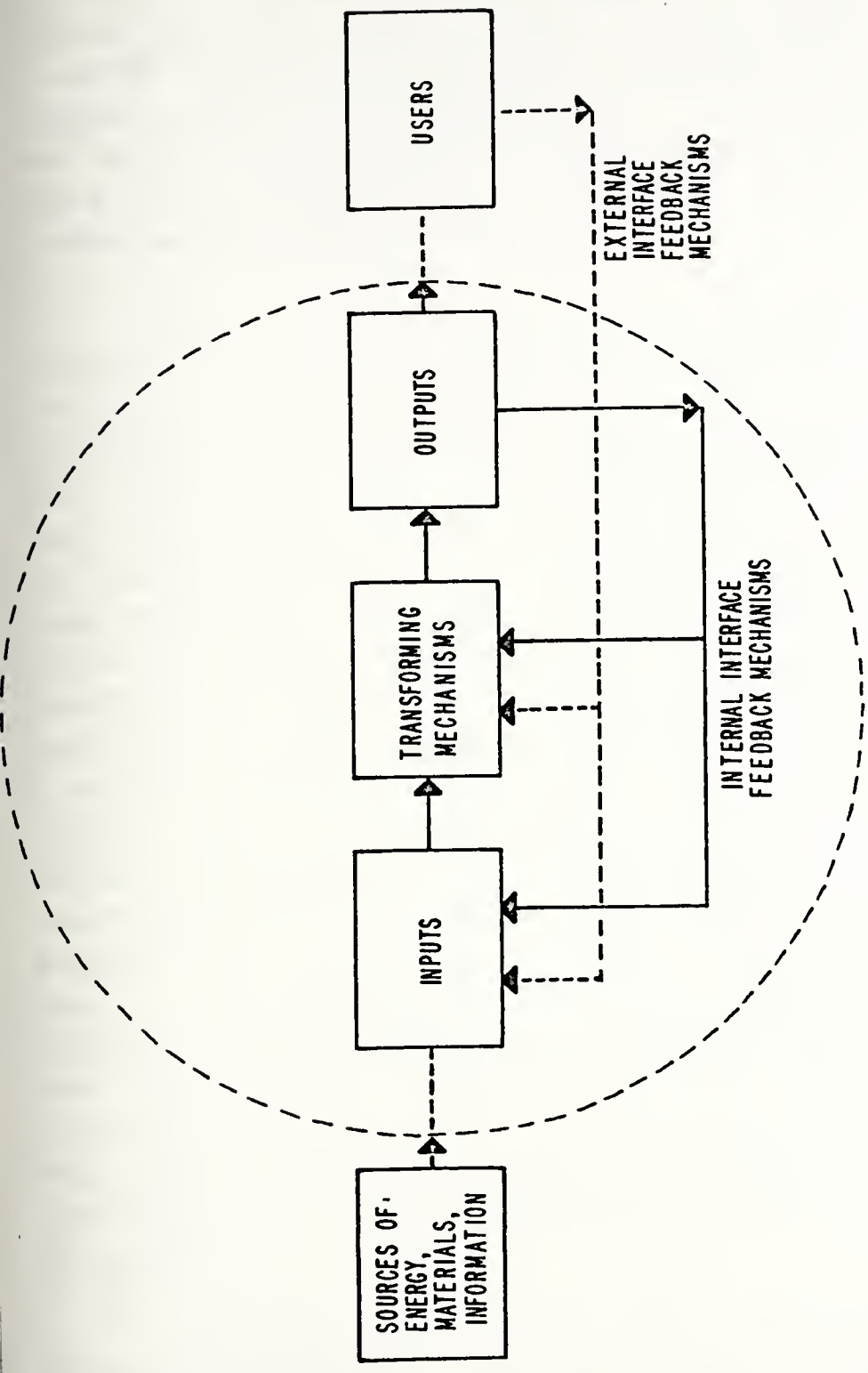


Figure 1 - FRENCH AND BELL'S ACTIVE SYSTEM MODEL

in Fig 1. An organizational system, in general, can be viewed as being comprised of: a flow of inputs (energy) progressing from the environment; a transforming mechanism; system outputs (or outcomes); users of the system outputs, and lastly, two systems of feedback, internal and external, which serve as corrective mechanisms at the input and transformation mechanism levels.

The transforming mechanism, and its functioning, is often the target of OD efforts and may be comprised of several overlapping subsystems. While a number of descriptions of transforming mechanism subsystems exist, this study will focus one developed by Leavitt (1972) for describing change efforts in organizations. This model will be more fully developed in chapter III, but is briefly described here. In addition to viewing an organization as a series of interfacing subsystems, it is also useful to consider an organization as consisting of interacting variables or inputs. These variables are: the human input - consisting of the organization's people, their skills, values, etc.; the technological input - consisting of the tools, instruments, procedures , and knowledge used in an organization; the task input - this subsumes superordinate goals, objectives, and work to be performed; the structure input - this constitutes the social and organizational framework through which the system carries out its work. The coordinated management of these subsystems and interfaces constitutes much of the focus of OD. As noted in the preceeding section on change, the focus is specifically directed towards the Human-Processural and Techno-social subsystems.

A final note regarding the applicability and limitations of systems theory is in order. Boulding (1968) desribes systems theory as:

"....the skeleton of science in the sense that it aims to provide a framework or structure of subsystems on which to hang the flesh and blood of particular subject matters in an orderly and coherent corpus of knowledge. It is also, however, something of a skeleton in a cupboard - the cupboard in this case being the unwillingness of science to admit the very low level of its success in systematization, and its tendency to shut the door on problems and subject matters which do not fit easily into simple mechanical schemes."

Von Bertalanffy (1968) in surveying the advances of general systems theory in fields such as information theory, cybernetics, decision theory, and factor analysis, acknowledges the criticism that such open systems approaches neglect "qualitative specificity" for "quantitative specificity." This is to say: the qualitative factors of a system can be overlooked by the simplifying assumptions required by highly quantitative approaches. Many factors in OD are not easily subject to a rigorous quantification or analysis. To do this analysis may be numerically dazzling, however, essential factors crucial to the quality of decisions may be lost. The present study has deliberately chosen a macro, non-quantitative approach to analysis in an overt attempt to capture some of the qualitative factors necessary to arrive at decisions regarding the efficacy of OD systems.

5. Definition of OD

As previously related in chapter I, modern society, and especially its human organizations, are extremely vulnerable to the types and rates of change extant in the environment.

One approach to the conversion of change from random to planned has been through the emergence of applied behavioral science in an organizational setting. This interdisciplinary set of methodologies has come to be generally known under the rubric of Organizational Development (OD). OD as a discipline or profession is a growing, diverse body of techniques and theories which are related by certain commonalities. OD is diversified in that a heterogenous collection of practitioners are employed in differing organizational situations. These practitioners employ a wide variety of techniques and methods. OD applications are similar in the sense that they are all characterized as processes by which solutions and action plans are developed. Friedlander and Brown (1974), in their landmark review of OD, have observed two major approaches in OD intervention strategy: the Techno-Structural approach and the Human-Processural approach. Both approaches have human fulfillment and task accomplishment as their intended overall outcomes.

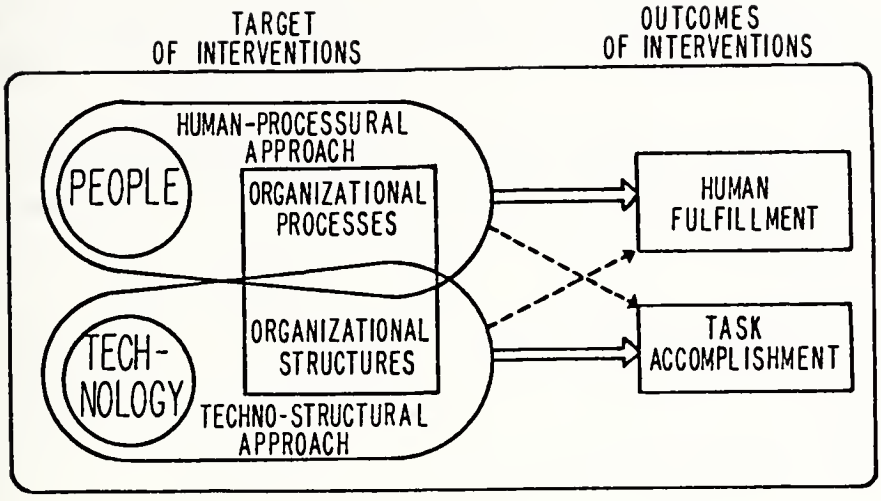


Figure 2 - APPROACHES TO ORGANIZATION DEVELOPMENT

(FROM FREIDLANDER AND BROWN, 1974)

Fig 2, from Friedlander and Brown's article, diagrams these two general approach models. The Friedlander-Brown model views organizations as composed of people, technologies, and processes and structures. These processes and structures are seen as the mechanisms by which human resources are integrated with technology to achieve organizational tasks and through which human fulfillment is attained. As indicated in Fig 2, the human-processural approach tends to emphasize human fulfillment over task accomplishment, while the techno-structural approach has a vice-versa emphasis.

The techno-structural techniques are fairly recent approaches on the OD scene and are documented by somewhat fewer studies as compared to the human-processural approaches (Friedlander and Brown, 1974). The human-processural techniques focus primarily upon human participants and the processes by which an organization accomplishes its goals. The greatest body of theory and studies exist under the human-processural category, and it is by this approach OD is most widely known.

Because of its relative newness and diversity, no single definition of OD has been universally accepted. However, three definitions of OD have been offered by leading CD theorists and are widely quoted throughout the literature of the field. Bennis (1969) states:

> "OD is a response to change, a complex educational strategy intended to change the beliefs, attitudes, values, and structure of organizations so that they can better adapt to new technologies, markets, and challenges, and to the dizzying rate of change itself."

Beckhard (1969) writes:

> OD is an effort (1) planned, (2) organization-wide, (3) and managed from the top, to (4) increase organizational effectiveness and health through (5) planned interventions in the organization's "processes" using behavioral science knowledge."

The term "processes" is generally understood to represent all the behaviors and transactions between individuals (decision-making, planning, problem-solving interpersonal communication, etc.) in organizations by which activities and objectives are carried out (Bowers et al., 1968). Lastly, French and Bell (1973) have perhaps formulated the most comprehensive definition of OD:

> "OD is a long-range effort to improve an organization's problem-solving and renewal processes, particularly through a more effective and collaborative management of organizational culture - with special emphasis on the culture of work teams - with the assistance of a change agent or catlyst, and the use of the theory and technology of applied behavioral science, including action-research.

Renewal (Gardner, 1965) is seen as the avoidance of organizational decay and the influx of forces promoting motivation, creativity, flexibility, adaptability , and the bringing of change results into line with personal and organizational purposes. Action research is a problem-solving model underlying many forms of OD process (French and Bell, 1973). This action approach consists of the following steps: (1) diagnosis; (2) data gathering; (3) data feedback; (4) data exploration; (5) action planning; and (6) action. The above-cited OD theorists (Beckhard, 1969; Bennis, 1969; French and Bell, 1973) appear to agree

that all OD systems and efforts share certain similar characteristics. These OD characteristics include:

1. Placing emphasis on the direction and management of change and learning in work groups. This is in keeping with Lewin's notions of field theory and the importance of reference groups to the initiation and maintenance of change.

2. The utilization of some variant of the action-research model to guide intervention decisions.

3. The idea that change efforts are most likely to succeed when they attempt to integrate organizational goals with individual goals.

4. The utilization of trained behavioral scientists as change agents or consultants.

5. The adoption of an open-systems view of the organization and the impact of change.

6. The employment of change activities that use experience-based (experiential) learning techniques.

7. Viewing change efforts as process vice content oriented, i.e., that OD addresses enhancement of human organizational functioning, not the client's actual trade or business.

8. Accepting the notion that change efforts are generally considered to be long-term projects. Bennis (1969) considers an average time for an OD program to begin to pay offto be 2 - 3 years after its inception.

Beckhard (1969) states that OD efforts are likely to fail unless there is program support for, commitment from and participation from the top management levels of the organization. Bennis adds further to the list of OD system characteristics by writing that OD is primarily an

educational strategy leading toward normative goals (outcomes) based on certain values; that change agents and clients must engage in a collaborative relationship; and that OD change agents tend to hold humanistic values.

It is the humanistic value systems of many OD practitioners and theorists which provides an essential key in understanding OD's basic orientation as a discipline. French and Bell (1973) describe many of these particular values and assumptions: (1) humans have drives towards personal growth and actualization of their full potential; (2) people desire to make and are capable of making higher levels of contributions to organizational goals than they are allowed to; (3) suppressed feelings and sentiments are adverse to effective problem-solving or growth and the expression of feelings should be allowed in organizational settings; (4) fulfillment of human needs and aspirations are the main reasons for an organization's existence; (5) that internal win/lose conflict-management strategies are not in the best long-term intersts of an organization and that collaborative strategies are; and (6) power in an organization should be equalized for meaningful change to occur.

From the definitions, characteristics, values, and assumptions outlined above, a picture of OD outcomes as related to organizational effectiveness can be drawn. Campbell (1974) suggests desired outcome predictions for OD projects as:

1. High trust and support among organizational members.

2. Authority based upon role knowledge and competence.

3. Organizational efforts become synergistic and collaborative.

4. Goals and objectives are arrived at participatively, thus creating high "ownership" of and commitment toward their achievement.

5. Communications are open in all directions, especially to facilitate problem-solving.

6. Managers manage towards relevant goals as opposed to previous practices.

7. Decision-making authority will be located as close to information sources as possible.

8. Reward systems should recognize achievement of both organizational objectives and subordinate (people) development.

9. Conflict is openly recognized and dealt with, not avoided.

Beckhard (1969) also comments that management values and strategy should place emphasis on maintaining work-group interdependency. Additionally he advocates the continued use of action research and feedback as a basic, ongoing, organizational practice. French and Bell (1973) further claim that high satisfaction and enthusiasm on the part of organization members should accrue as a consequence of an OD effort .

The aforementioned definitions and descriptions serve to principally identify OD as a normative-re-educative change strategy as opposed to more traditional power-coercive or rational-empirical strategies, At this point, it should be clear that OD is a process primarily designed to address the human or behavioral problems of organizations. The relevant techniques utilized in contemporary OD and how they relate to specifically military OD efforts will be explored in the following sections of this chapter.

6. A Typology of Contemporary OD Techniques

Beckhard (1975) suggested four major issues which should be addressed prior to choosing any particular change technique or approach. The first issue relates to the definition of the change problem. An assessment should be made regarding the amount of agreement among organizational members as to what the exact nature of the problem is. The second issue regards assessment of the amount of readiness and motivation for change that exists within the client organization. If there is not a reasonable level of commitment, desire, or resources required to support a change effort, failure may likely occur. The third issue centers around the change agent, if one is used. Here, the change agent should be aware of the extent of his or her capabilities and resources, and must be open to the client organization regarding what he or she can or can't do. The fourth issue concerns the choice of initial or intermediate approaches as a means to ultimate goals.

Approaches to organizational change seem to involve techniques which often overlap and are interdependent to such an extent that they may be utilized in conjunction with each other. Thus, there is apparently no zero-sum or win-lose relationship between the various approaches (Hellriegel and Slocum, 1975). The several techniques of change considered in this section are by no means exhaustive. Techniques for change not included here should not automatically be considered unimportant rather, space limitations have constrained the description of OD techniques to those most relevant to the purposes of this study.

Techno-structural approaches to OD refer to theories

of and interventions in the technology (e.g. task methods and actual work processes) and the structure (e.g. the relationships, roles, and arrangements) of an organization (Friedlander and Brown, 1974). These techno-structural strategies are founded in the theories of open systems, engineering, industrial psychology and sociology. Taking the view that a given formal structure of an organization is only one form of many which are possible and by attempting to arrange a "fit" between the social and technical subsystems of an organization, techno-structural approaches optimize work-flow by altering its structural frameworks. The units of analysis for determining change are discrete tasks and their interrelationship the basis for organizational structure design (Roland, 1977; Hornstein et al., 1971).

Techno-structural approaches have been traditionally applied where new technologies have been introduced, production rates or product quality has declined, and in lower-level, blue collar work situations (Trist, 1969; Hornstein et al., 1971). The importance of social norms and group influence on individual behavior is fundamental in OD theory (Beckhard, 1969; French and Bell, 1973), however, techno-structural approaches do not attempt to operate directly upon informal social norms and practices (as in the human-processural approaches). Rather, the techno-strructural approaches attempt to fit change into existing social structure or to manipulate existing organizational structures to accommodate social values and technological constraints (Roland, 1977). Individual behavioral alteration is assumed to follow technological and structural change (Hornstein, 1971).

Human-processural approaches to OD emphasize the use of social science technology in effecting change in the organizations' human participants and processes (Friedlander

and Brown, 1974). This approach assumes that organizational effectiveness and performance objectives will be met when individual and group needs are fulfilled (Bennis, 1969; Campbell et al., 1974). Hornstein (1971) stresses that OD processes attempt to improve the organization's functioning by affecting its culture. Further, the nature of human-process oriented change is intended to be ongoing and permanent; utilizing both individual and intergroup techniques to initiate, support, and institutionalize the changes. Beckhard (1969) postulates that motivation for change is provided by the organization in the form of environmental requirements or internally felt needs.

Bowers, et al. (1973) formulates an alternative typology of OD techniques based upon four factors which initially determine individual and intergroup behavior. These factors are: (1) information, which relates to knowledge of both technological and social aspects of organizational functioning; (2) situation, which emphasizes the relationships between individuals, groups, technical and physical settings in work; (3) skills, which relate both social and technical competencies to organizational functioning; and (4) values, which are measures of importance carried within individuals and can be viewed as motivational factors. Effectiveness (a prime goal of OD) is affected to the extent that individuals or groups possess the information and skills necessary to complete required tasks, a situation in which their efforts are sufficiently supported, and values congruent to job requirements. Bowers notes, however, that some organizations assume only technical skills can be taught to individuals and social skills are innate or must be picked up on the job. Values are postulated as being intangible to the extent that they cannot be directly operated on. Bowers' typological framework classifies various techniques according to the three major areas (informational,

situational, and skill) most directly and immediately impinged upon by the technique.

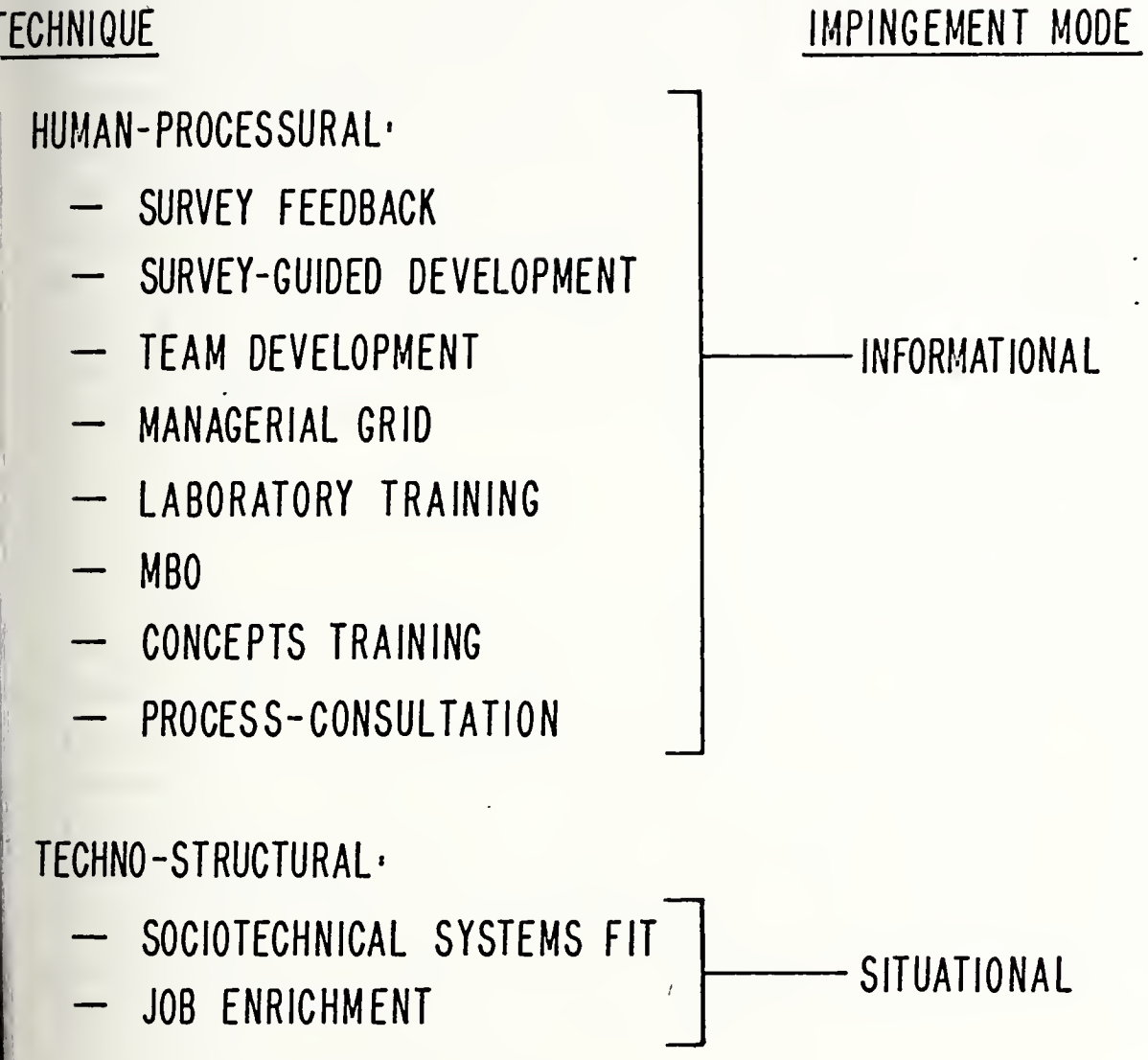


Figure 3 - OD TYPOLOGY AND TECHNIQUES

(ADAPTED FROM BOWERS ET AL., 1973)

Fig 3 attempts to integrate a limited number of OD techniques under two classification schemes to show their intervention targets and modes of impingement. Due to the impressive number and variety of possible intervention techniques, the decision to include a particular technique within this study's typology was contingent upon the technique's past or current application in the various Armed Forces' OD efforts. The skills impingement factor of Bowers' framework was deleted since none of the techniques subsumed under it met the inclusion criteria of military application. It should be noted, however, that any attempt at categorizing change methods must in some sense be arbitrary due to the interrelatedness of the techniques, their targets, and the systemic nature of their impingement mode. A description of each technique is provided below.

a. Concepts Training

- This technique uses a seminar approach to train organizational members in significant human factors concepts deemed relevant to the organization's functioning. Typically, but not exclusively, this activity is the foundation of progressively larger OD programs. Included in the seminar topics are variables such as: leadership; communications, decision-making practices; influence and power use; control; and motivation. The seminars are usually held off-site from work environments and last up to about a week with 8-hour work days (Likert, 1967).

b. Laboratory Training

- Sometimes known as sensitivity training or T-groups, this approach is an experience-based technique which focusses upon individual and intergroup development and change (Hellriegel and Slocum, 1975). Based upon group dynamics

theory and practice, this technique aims at developing competencies in self-insight, group functioning, and communcations through the use of an unstructured group, self-disclosure of feelings, intense personal feedback, ambiguity, anxiety, and a focus on the here-and-now situation. Laboratories normally run anywhere from 2 days to 2 weeks, have a group size of between 8 and 15 participants, and are usually conducted away from the workplace. The use of a professional trainer or group leader is almost essential if a successful session is to be achieved and to minimize the possibility of psycholcgical repercussions (Bennis, 1969). Three variants of laboratory training are Stranger , Cousin , and Family laboratories. Stranger labs, composed of people from diverse backgrcunds and organizations, fccus upon issues of personal and emotional growth. Cousin labs are composed of participants from the same organization who normally have little contact with each other and the organization is used as a reference point to develop personal and team growth. Family labs are composed of people from the same section of an organization and meet to work out interpersonal issues affecting team performance (Bowers, 1973).

c. Management By Objectives (MBO)

- MBO is a widely-accepted and employed methcd of management and change (Hellriegel and Slocum, 1975) which may be utilized on both individual and group levels. MBC is a systematic approach to the solution of a number of management issues: (1) the difference in values between worker and manager; (2) the desire by a worker to participate in the organization's decisicn-making prccess; (3) the need for a worker's commitment to organizaticnal objectives; and (4) definition of responsibility and control. These ends are met through an MBO process consisting of four elements: (a) joint manager/subordinate

participation in the (b) setting of performance objectives. This, in turn, leads to (c) an implementation phase which is followed by (d) a review and feedback session which initiates another process cycle. The entire process is jointly carried out by supervisors and subordinates under the guidance of a trained consultant (Drucker, 1954).

d. Managerial Grid

- Grid development is a large-scale, long-term, systematic OD effort involving a number of change methodologies. The underlying model of Grid OD is a normative model of leadership style based on two major variables: concern for people (or relationships) and concern for production (task accomplishment). The variables are arranged on a Cartesian grid and each axis is ranked from low to high. The Grid program provides for the identification of a manager's leadership style on the grid and attempts to change his style towards a prescribed high concern for both people and production. This change effort is conducted though a six-phase program. These phases include: (1) a one-week laboratory experience; (2) team development training of work groups using knowledge acquired in phase; (3) intergroup training between autonomous work groups; (4) organizational goal setting by top managers; (5) action plan implementation towards goal attainment and (6) stabilization of change efforts. The program may take anywhere from six months to five years to complete and requires the long-term utilization of a skilled consultant (Blake and Mouton, 1964; Blake and Mouton, 1972).

e. Process-Consultation (P-C)

- P-C is defined as "...a set of activities on the part of the consultant which helps the client to perceive, understand, and act upon process events which occur in the

client's environment" (Schein, 1969). P-C is often a part of larger efforts and has as its goals the development of interpersonal competence, self-awareness, and self-help on the part of the client system. The consultant typically contracts to participate as an observer in a percentage of the day-to-day activities of the client organization and focusses awareness on crucial process issues such as communication, roles, problem-solving, decision-making, leadership, cooperation, and competition.

f. Sociotechnical Systems Fit

- This techno-structural approach is widely acclaimed as the most effective of its kind. Sociotechnical interventions are based upon a thorough analysis of the impact new technology has on the social and organizational structures of clients and attempts to engineer a "best fit." It is strongly oriented to task achievement and emphasizes a systems approach to the use of social forces in the implementation of change (Trist, 1969); Katz and Kahn, 1966).

g. Survey Feedback

- Generally considered a parent of many systems of intervention, notably survey-guided development, survey feedback has been utilized by itself as an intervention technique. The intervention is initiated by the consultant's gathering data via a written questionnaire or interview, followed by data analysis and interpretation. The presented and analyzed data serves as the springboard for futher developmental activities within the organization, (Bowers and Franklin, 1972; Bowers and Franklin, 1975).

h. Survey-Guided Develcpment

- This technique is a data-based approach directed towards system-wide improvement through a carefully planned and closely monitored effort (Bowers et al., 1973). Surveys are used as a basic tool for the diagnosis of organizational functioning; provision of data for feedback; and assessment of the efficacy of change activities. Survey-guided development is a multi-technique approach consisting of a variety of activities. The steps of this process include: (1) diagnosis of system health is based initially upon an organization-wide standard survey supplemented by interviews and record materials; (2) concepts training of key organizational members; (3) collated data is selectively fed back to the originating organizational members; (4) feedback meetings are held with work groups and are led by each workgroup's leader; (5) activities such as workshops or training are planned and implemented as a response to organizational problems perceived during data gathering and feedback; (6) the consultants perform intermediate assessments of change activities and feed this back to the system; (7) the system-wide survey is re-administered to document change and the system has the option of re-entering the process. Consultants act as facilitators and data processors; but analysis, interpretation and change activities are decided upon by the client (Bowers and Franklin, 1975).

i. Job Enrichment

- This technique entails the restructuring of the content of a set of jobs which are vertically related to enhance the employee's opportunity for satisfaction. Job enrichment differs from job enlargement or sociotechnical systems fit in that it is based on theories of motivation such as Herzberg's (1967) and attempts to expand the amount of satisfiers present in a job. This is done through the removal of some job controls, increase in job

accountability, diviersification of job boundaries, granting of additional authority, and feeding back periodic performance reports formerly presented only to one's supervisor. Consultants in this technique normally have extensive backgrounds in human motivation studies.

7. Military OD

This section is intended to introduce the U. S. Armed Forces OD efforts. In terms of sheer numbers and scope of effort, the combined Armed Forces' OD programs have to be considered one of the largest in existence (Umstot, 1978). The Armed Forces have formally been in the field of OD since 1970, when a pilot group of Navymen responded to Admiral Zumwalt's direction to study alternatives for effective management of the Navy's human resources (Forbes, 1976). Since that time, the largest of the Armed Services (Army, Navy, Air Force), have either established formal OD systems or have taken firm exploratory steps towards that end (Umstot, 1978). Additionally, the Coast Guard has begun a series of pilot OD projects which may lead to establishment of its own system-wide program.

The Navy's OD effort is called "Human Resources Management" (HRM) and is based upon survey-guided development as its principal change strategy. It is primarily aimed at the development of individual units; uses internal consultants in the form of specially trained, active duty naval personnel; emphasizes short and medium-term changes, as well as long-term payoffs; and strives towards a goal of increased organizational effectiveness (Forbes, 1977). The HRM program is managed by the Navy's senior line managers and has as its principal operational arm six regionally-located consulting centers reporting to various fleet commanders (Ritter, 1978). The

basic element of the HRM program is its HRM Survey, a standardized, Navy-wide, paper-and-pencil instrument. The HRM Survey is incorporated within a seven-step process on a cyclic basis, called the HRM Cycle (Forbes, 1977). Participation in the HRM Cycle is mandatory and standardized (Umstot, 1978).

The Army's program is called "Organizaticnal Effectiveness" (OE) and is defined as "....the systematic military application of selected management and behavioral science skills and methods to improve how the total organization functions to accomplish assigned missions and increase combat readiness" (Ritter, 1978). OE efforts are locally managed by Army commanders at various levels down to the brigade level. OE is carried out by internal consultants in the form of specially-trained civilian specialists (who serve with Army units primarily manned by civilians) and commissioned officers. These Organizational Effectiveness Staff Officers (OESO's) are permarently assigned to brigade-sized units. OESO's and use a variety of techniques within a four-step model of data gathering, diagnosis, intervention, and evaluation. Participatcn in OE activities is voluntary and is initiated or terminated by the user command (Umstot, 1978; Ritter, 1978).

The Air Force is descibed as having a "potpourri" of OD programs (Umstot, 1978). These programs are of bcth a techno-structural and a normative-re-educative nature, principally focussing upon the quality of life of Air Force members (civilian and military). After experimentation with several trial OD projects, the Air Force has centralized overall policy-making authority for OD efforts at Headquarters, USAF, under the Directorate of Personnel Plans Deputy for Human Resources Development (HRD). The two ongoing programs in the unifcrmed Air Force reside in an "orthodox job enrichment" effort sponsored by the Air Fcrce

Logistics Command (Umstot, 1978) and an off-site leadership and management consultation (LMC) program conducted under the auspices of the Leadership and Management Development Center (LMDC) of the Air University (Champion and Petty, 1977). Umstot (1978) predicts that the above OD activities may lead the Air Force to a strategy somewhere between the spectrum of the Army and Navy approaches to OD, but that currently, a spirit of experimentation and eclecticism prevails.

Current Coast Guard efforts lag all the other Armed Forces' programs with the possible exception of the effort conducted by the Coast Guard Leadership and Management School (CGLAMS). The initial Coast Guard OD effort was rooted in its Civil Rights Program, a centrally-managed attitude change effort utilizing a form of laboratory training. The civil rights program has given rise to two localized pilot OD programs. CGLAMS, a high-credibility, resident form of concept training, has begun an initial pilot program of on-site training aboard Coast Guard units. This pilot effort has definite OD overtones. Unlike the Army, there is currently little active support from top Coast Guard management towards the institutionalization of an organic OD program.

Earlier discussion within this study has generally tended to portray OD as a management approach to organizations which stresses humanistic, participative, anti-authoritarian/bureaucratic values (Bennis, 1969; Burke, 1976). In fact, many of the early OD approaches did contain such a value bias. Thus, OD became a normatively prescriptive discipline which tended to push towards a Theory-Y or System 4 end state within client organizations. However, as OD has become more theory and research based, a more eclectic and contingent approach has emerged (Lawrence and Lorsch, 1969; Hicks and Gullet, 1975; Hellriegel and

Slocum, 1975). Indeed, Burke (1976) has stressed the need for and applicability of OD as a technology which is less prescriptive toward climate and style. Umstct (1978) points out that the apparent values paradox of OD in the military may not be valid. He indicates that much of the technology of OD <u>can</u> be successfully applied within a relatively authoritarian organizational setting. Such theoretical considerations as long-term OD involvement before payoff, power equalization, or complete openness may not be as important as authenticity, technical expertise, and commitment to change in the implementation of OD. The apparent successes to date of the military's use of CD may support the latter notions as more pragmatic for the Armed Forces.

III. METHODOLOGY

A. STUDY DESIGN

The basic methodology employed in developing this study is a modification of the historical/descriptive research strategy. It is designed to utilize concepts and techniques from the fields of management, behavioral sciences, and systems theory. This study is primarily concerned with the developmental aspects, over time, of the U.S. Coast Guard's initial OD efforts. For illustrative and learning purposes these effects are contrasted with the programs of the other U.S. Armed Services.

Each major Armed Service possessing an OD element has witnessed an evolution of that element through certain organizational stages to its present form. Concordant with the systems approach taken by most OD theory and practice, this study has adopted a systems perspective in formulating a research model. The model chosen uses each service's OD subsystem as a principal unit of analysis. This systemic approach necessarily results in a macro or "big picture" slant in the subsequent final analysis. Of further methodological note is the recognition that each OD program is an individual subsystem embedded in the surrounding environment of the larger parent service. Additionally, the service OD programs have enjoyed some degree of open interaction with each other. The utilization of a time element in the researcher-selected analysis model contributes to a clearer imaging of each service system as

it has developed, assists in the comparability of each system, and reinforces the systems theory concept of multicausality.

Each uniformed service OD program is analyzed along the lines of the four-dimensional approach to systems analysis cf organizations devised by Leavitt (1972). In employing this approach, each armed forces OD effort is divided into subsystems cf four major interacting variables. This division permits a useful comparison between functionally related but organizationally separate dimensions. The major subsystem variables to be used in the analysis are structure, task,technology, and people.

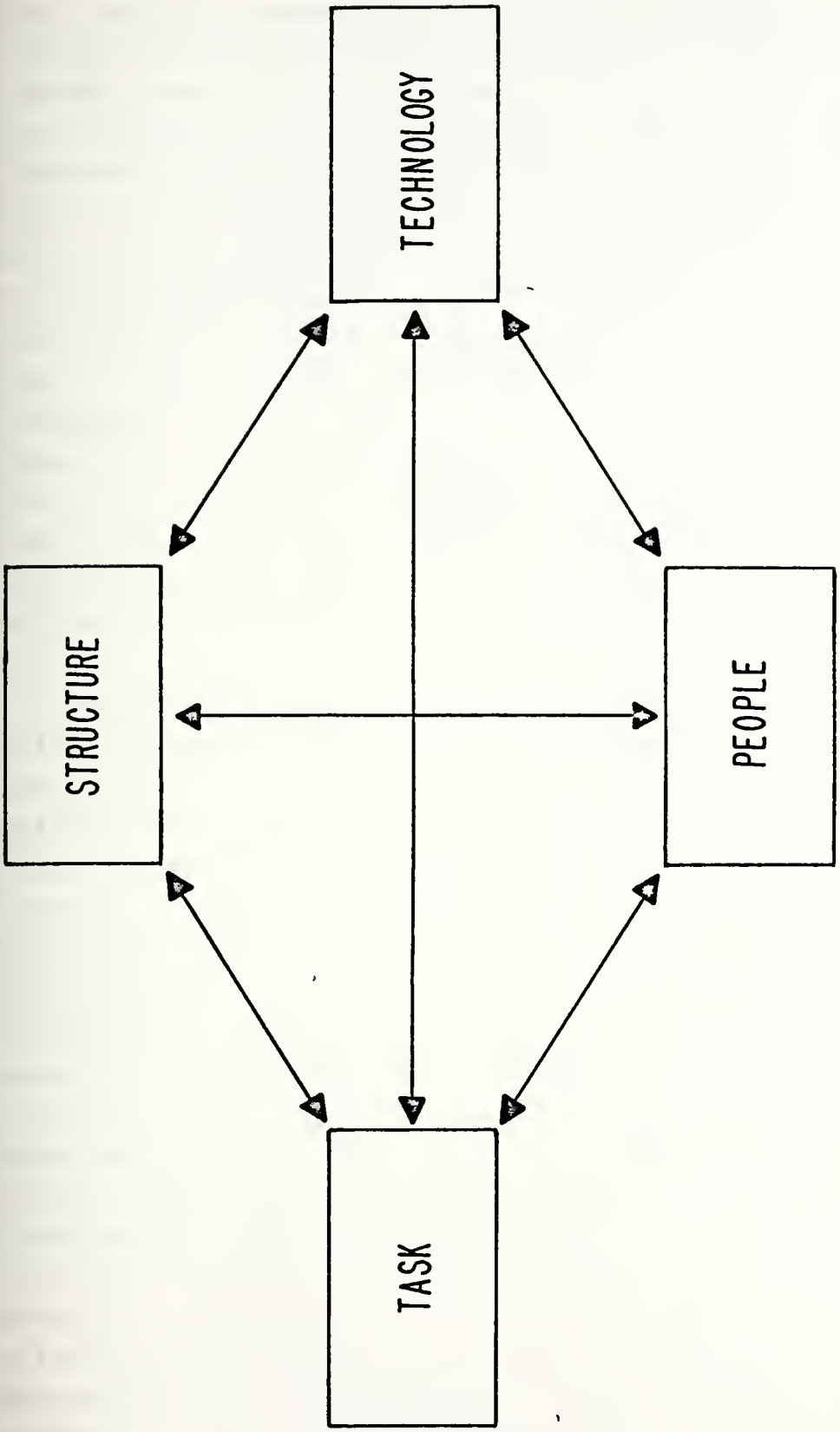


Figure 4 - SYSTEM FACTORS IN ORGANIZATIONAL CHANGE

(SOURCE: LEAVITT, H., MANAGERIAL PSYCHOLOGY, 1972)

The structural subsystem indicates the organizational form and provides the reference point by which the larger system's boundaries are defined. It also defines the roles and systems of communications, authority, power, and responsibility through which organization members relate to each other. The task subsystem is concerned with the activities in which people engage and includes the purposes or objectives for organizational existence. Task functions can create dependent, independent, or interdependent relationships within organizations. The technology subsystem variable refers to problem-solving methods or techniques by which an organization accomplishes its task functions. Finally, the people variable refers to the individual human beings working within an organization. This subsystem includes personal attitudes, personality styles, and motivations (Hellriegel and Slocum, 1975).

The longitudinal, or time, element of this study analysis model is drawn from a theoretical model proposed by Derr (1976). In using Derr's chronological model, OD efforts are seen to evolve through a four-stage process. Stage 1 sees the OD effort as primarily a new and unstable endeavor. This stage is characterized by a searching for organizational legitimacy and commitment, internal organization, and an appropriate methodology for intervention. Stage 1 may be further conceptualized as comprising two substages: research and development and start-up. Comparing this to the Kolb-Frohman model of organizational consultation development (Kolb-Frohman, 1970), the research and development substage is the functional equivalent of "scouting" and "entry". In scouting the focus of effort is to try to develop some intelligence regarding the needs of the client system. Entry is the Kolb-Frohman analog to the start-up substage, whereby a demonstration is attempted so that the client system can ascertain the OD subsystem's utility. Derr's research

suggests that many OD efforts fail or never get beycnd this first stage, remaining in perpetual entry until they eventually die. Stage 2 comes about when the parent organization decides that OD is potentially useful and wcrth an ongoing investment. At this point, the CD effort changes ccurse and attempts to meet the larger-system constraints so as to be acceptable to the host. Reorganization, institutionalization, and improvements cf OD effort personnel and technology are performed. In this stage first attempt at systematic evaluation to establish program worth in "hard" data are usually made. Stage 3 represents a great transition for an OD subsystem in that the larger organization typically demands another demonstraticn of usefulness. The initial effort is considered to have met previous needs, but flexibility in meeting new environmental problems is required. Presuming a successful resolutien of Stage 3, Stage 4 represents the maturing of the OD effort. OD is now fully accepted by top management and is utilized where appropriate. at this final stage the questicn is no longer survival of the OD effort but only how to continuously improve it for increased effectiveness.

B. ANALYSIS MATRIX

Forbes (1977) has noted that the Navy HRM program has experienced two stages of growth: termed the project (or pre-institutional) and the institutionalized stage. Fcr the purposes of this thesis institutionalized is defined as the integration cf the OD effort into the normal fabric of organizational routine. Institutionalization can include any or all of the following: (1) shifting the process of selection and assignment of OD program personnel from project cognizance to the normal personnel assignment process of the organizatien; (2) transfer of assets and rescurces from project status to the normal organizational

allocation and management processes; (3) expansion of the OD effort beyond its initial organizational or limited geographic focus to a more system-wide activity; (4) integration of the OD program with other personnel support programs such as equal opportunity/race relations or substance abuse.

The analytical model constructed for this study integrates this pre-institutional to institutional growth concept, along with the Leavitt subsystem model, to produce an analysis matrix. The matrix is used as an organizing framework to develop a historical/descriptive comparison of military OD efforts. As previously indicated, the principal exphasis of the comparison will be between the Coast Guard and the Navy's efforts.

	PRE—INSTITUTIONALIZATION (A)			INSTITUTIONALIZATION (B)		
	USN[1]	OTHER[2]	USCG[3]	USN[1]	OTHER[2]	USCG[3]
I. STRUCTURE	I. A. 1	I. A. 2	I. A. 3	I. B. 1	I. B. 2	I. B. 3
II. TASK	II. A. 1	II. A. 2	II. A. 3	II. B. 1	II. B. 2	II. B. 3
III. TECHNOLOGY	III. A. 1	III. A. 2	III. A. 3	III. B. 1	III. B. 2	III. B. 3
IV. PEOPLE	IV. A. 1	IV. A. 2	IV. A. 3	IV. B. 1	IV. B. 2	IV. B. 3

Figure 5 - ANALYSIS MATRIX

Fig 5 illustrates the format of the analysis showing along one axis major system variables and along the other developmental stages by service. This integrated approach results in a twenty-four celled matrix. The matrix compares eight phases of effort growth and development applied over three categories: Navy, Coast Guard, and other (USAF and Army). The time frames distinguishing the pre-institutional and institutional stages by service were:

Navy: February, 1972

Army: July, 1975

USAF: April, 1975

USCG: November, 1976

The Navy time frame, February, 1972, marks the month to which the institutionalized phase of that service's OD program can be traced. It was during this period that the Human Relations Project Office was established and formal commitment to the creation of the present HRM System was made. The July, 1975, date for the Army was chosen as the institutionalization milestone since that was when the Organizational Effectiveness Training Center at Fort Ord was established. April, 1975, was chosen for the Air Force OD program because at that time the Directorate of Personnel Plans Deputy for Human Resources Development at USAF HQ, was charged with central OD policy-making. The Coast Guard transition period of November, 1976, was selected because it began conducting resident leadership and management classes at RESTRACEN Yorktown, which initiated OD's formal appearance in the institutional fabric of that service.

C. SOURCE MATERIAL COLLECTION

The method of data collection used in this study is one of

the primary approaches listed by Berelson and Steiner (1964) for social science research. The data were obtained through three major sources: (1) official records, reports, studies, letters, notes, and articles; (2) in-depth interviews with key figures of the Coast Guard OD efforts; and (3) via personal observation by this study's author of selected Coast Guard OD activities. The interview material was collected via a series of face-to-face encounters utilizing a questionnaire format patterned after the Leavitt four-dimension model described elsewhere in this chapter. A copy of the interview format is exhibited in Appendix A. All interviews were tape recorded. were cross-compared with each other as a Written source materials check on validity and consultation with authorities in military OD occurred whenever questions arose.

The analysis was conducted within the framework of the analytic model and in light of current OD theory. It concentrated upon the "macro" organizational elements of each OD subsystem and utilized a systems approach.

IV. PROGRAM ANALYSIS

A. INTRODUCTION

In this chapter, comparison of OD effort major variables are systematically discussed using the analysis matrix presented in Chapter III. The analysis proceeds chronologically through the two developmental phases (Pre-Institutionalization and Institutionalization) for each of the four major system variables (structure, task, technology, and people) by service (Navy, other, USCG). It should be noted at this time that the majority of Coast Guard activities are grouped in the pre-institutionalized developmental phase. This is a primary measure of the newness of the OD approach to the Coast Guard organization. There are, however, some indications that top-mangement concern is being directed towards choosing alternatives for institutionalizing current OD efforts.

B. PRE-INSTITUTIONAL ANALYSIS

1. Pre-Institutional - Navy - Structure (I.A.1)

In November, 1970, Admiral Elmo Zumwalt, then Chief of Naval Operations (CNO), responded to pressures and recommendations from within the Navy to examine and evaluate traditional patterns of manpower and management practices. This response took the form of a personal solicitation from the CNO to the fleet through one of Admiral Zumwalt's famous

"Z-Grams" in which he called for volunteers to man a pilot program to develop and evaluate new ideas and techniques in the human relations area. Additionally, an earlier Z-Gram had established a new, major departmental-level office in the Bureau of Naval Personnel, called Pers P (for people), and this new office assumed responsibility, along with other projects, for formation and sponsorship of the pilot group.

The pilot group was called the Human Resources Management Project (HRMP) and was comprised of 24 specially-selected Navymen from a field of over 1000 volunteers. The HRMP was designed to operate as a test and evaluation study group and had a program life span of one year. The HRMP was located initially at the U.S. Navy's Chaplain School at Newport, Rhode Island, and began its existence in January, 1971. Organized initially as a stranger group undergoing experiential training in small sub-groups; the HRMP evolved structurally through several stages and culminated in a traditional departmental hierarchy.

In March, 1971, a Human Relations Project Office (Pers Pc) was established under Pers P and charged with monitoring all Navy sociological change programs, including race relations education, substance abuse, intercultural relations, and the HRMP. The office was headed by a senior Naval officer who was a personal aide to Admiral Zumwalt. The Admiral continued his personal interest and support of the project. In December, 1971, the HRMP was formally placed under the Human Relations Project Office's control and the Director of the HRMP (which had by now assumed the role and structure of a field activity) was made an Officer-in-Charge. The decision was also made at that time to create a task group consisting of Pers Pc and HRMP personnel to draw up an outline of a Navy-wide OD program based upon findings and knowledge gained by the original

HRMP group. The HRMP effort was culminated in the task group's decision to institutionalize the HRMP by disbanding the original group structure and transforming it into an operational Navy unit called the Command Development Department (CDD). The CDD was to be a functional field arm of Pers Pc.

Throughout the life of the Navy pre-institutional OD program an aggressive approach was pursued. Its role was to examine and evaluate various strategies of social change for possible Navy use, and it did so with a will. A number of behavioral and management science technologies and structural forms were experimented with or were investigated. A continuous series of reports and briefings were held for various levels of interested top Navy management, from the Pers Pc project officer to the CNO himself. The client of the pilot project was ultimately the whole Navy, but at various phases also included itself, Pers P, and various Navy units at which trial projects were carried out in development and evaluation. These units included several of the schools commands at the Newport Naval Base and a locally home-ported destroyer escort.

The latter stages of the HRMP group effort was characterized by growth. To manage and coordinate this growth, a variety of structural and managerial techniques were utilized. The final pre-institutional change was to move the whole program from a test and evaluation emphasis to a more formal, operational role concerned with implementation of the new change strategy.

2. Pre-Institutional - Navy - Task (II.A.1)

The initial task of the HRMP group was to investigate the desireability of adapting certain aspects of the behavioral sciences to the effective management of the Navy's human

resources. A more specific goal for the HRMP was stated by the Pers P staff:

> "....To develop, implement, and evaluate action programs which will improve the overall efficiency of the Navy through the development of an organizational climate in which the individual can better contribute to the accomplishment of the naval mission while meeting his own needs. Implicit in this objective is improved management through enhanced communications and better understanding of the Navyman as an individual. An interdisciplinary approach will be taken in integrating contributions from the behavioral sciences and modern management theories with emphasis on specific Naval applications (Forbes, 1973)."

When the HRMP group initially formed, its main task was one of training itself to work as an effective team and to gain basic knowledge about the behavioral science field. The specific objectives for each group member which emerged from these goals were three-fold: (1) to develop an honest evaluation of self; (2) to develop skills (in relating, communications, etc.) and acquire tools (physical and analytical); and (3) emerge as a functioning, well-integrated group while respecting individual members' capbilities. The HRMP group did, in fact, emerge as a functioning team, ready to begin its innovative activities. Training phase goal achievement was assessed by the support staff of the Chaplain's School through a variety of instruments and techniques. The training as a whole, was judged to be a success by the support staff.

As the HRMP group began its investigations as chartered by Z-Gram 55, it found the initial directions too

vague to effectively operationalize. In July, 1971, the HRMP group transmitted a set of objectives to Pers Pc derived from its mission statement which stated that: (1) the HRMP would test and evauate practical applicatiens of knowledge and science that would assist Naval units to accomplish their missions more effectively; and (2) to determine the most effective way to transmit HRMP findings to the Naval Establishment.

Assessment of HRMP group activities during this investigative phase of its existence was made in the fcrm of task grcup reports of various program alternatives, small group discussions, and interview data frcm group members. The outccme of the group's efforts was to settle on CD as the most likely approach to social change for the Navy.

The final phases of the HRMP's existence was concerned with the refinement and formulation of its acquired OD knowledge into a operational Navy OD program. The outcome of the HRMP effcrt was the institutionalization of itself and its program into the Command Develcpment Department program.

3. Pre-Institutional - Navy - Technology (III.A.2)

In the beginning phase cf the HRMP group's lifetime, the initial task focus was on individual and grcup development and on learning. The activities and methcds used in this training were based upcn the labcratory learning model and greatly relied upon experiential learning. The curriculum was drawn from the management portion cf the senior Chaplain's course of the Navy Chaplain School, and included such activities as small group discussions, learning games, behavior analysis, lecturettes, the taking of test instruments, conducting community surveys, movies, and engaging in dialogue. The training program was based on a

commercially available development course called the "Performance Improvement Series" and was founded on the human motivation research of David McClelland.

During the HRMP organization and investigation phases of existence, the group centered its activity on testing various organizational structures in its attempt to define its task, attended educational programs to evaluate their feasibility for Navy use, developed Navy-oriented seminars, participated in intra-group training, performed initial design work on a Navy organizational survey instrument, and performed local consultation projects. These activities all pointed the group toward OD as the most feasible approach to planned social change in the Navy and efforts were intensified from August through December, 1971, to refine a usable product. Serious interest was focussed upon use of the Managerial Grid system of OD for use in the Navy, but subsequent evaluations influenced decisions against its formal use. A number of educational seminars were developed and tested during this time, and became the basis of the future change program framework.

The final months of the HRMP were spent working out the framework of the change program which was to be tested after the group's institutionalization and operationalization. The program was initially based upon integration of men and mission for organizational excellence and utilized a seven-step consultancy model patterned after the Kolb-Frohman model. Assessment of the refined program was to be performed through a trial effort aboard a locally-based, sea-going Navy command. Throughout the later stages of HRMP group activity, off-the-shelf techniques were investigated and, if found usable for Navy use, were usually modified (to a greater or lesser degree) for service use.

4. Pre-Institutional - Navy - People (IV.A.1)

The HRMP group was comprised of 24 active-duty Naval personnel selected from a field of more than 1000 volunteers. The group consisted of both officer and enlisted personnel and ranged in grade from E-4 to O-5. The group had a diverse background of education and experience, but had no particular concentration of behavioral or managerial expertise.

When the group initially met, there was no sense of unit identity or structure to tie them together, nor was there much in the way of conceptual base from which to pursue the pilot project mandate from the CNO. The first order of business, then, was to undergo 6 weeks of intensive experiential laboratory training at the Chaplain's School. For the remainder of the HRMP lifetime, the group collectively and individually underwent a series of internal and external training and OD experiences from a variety of sources. Additional knowledge and skill transfer was accomplished by the use of a variety of external consultants.

The members of the pilot group were selected by a process removed from the normal Naval personnel assignment procedures. The selection criteria for the group members were not publicized, but did attempt to select personnel who were willing to effect change in the Navy. The individuals who stayed in the change program went on to form the nucleus of the formal Human Relations Project Office and its Command Development Department field activities.

In addition to the personnel comprising the HRMP group, senior staff officers from the Pers P organization at the Bureau of Naval Personnel were integrated into the final ad hoc group which hammered out the framework of the future

Navy OD program in the final weeks of the pilot project's existence. This group of staff officers represented the needs and authority of the top management of the Navy, and so tempered and influenced the ultimate program design.

5. Pre-Institutional - Other - Structure (I.A.2)

In June, 1972, a formal recommendation by a Department of the Army study group to the Army Chief of Staff urged that, among other things, the Army Deputy Chief of Staff for Personnel (DCSPERS) undertake a pilot project to evaluate whether or not OD methodology was suitable for use in the Army as a strategy for organizational change. Major General Sidney Berry, Commander of the Military Personnel Center (MPC), a subordinate organization of DCSPERS in the Washington, DC, area, volunteered his unit to be the testbed for such a project. The Army Office of the Special Assistant for Training (OSAT) was assigned the role of monitoring the project. The System Development Corporation (SDC), a private OD consulting firm, was awrded the contract to conduct the pilot project. In May, 1973, the project was formally begun when consultants from SDC began the first phase of their work at MPC. The project was to run for one year, formally ending on 10 May, 1974.

As a pilot program, the MPC OD project organization had no formal, permanent place in the structure of MPC. As in most externally-consulted OD programs, the MPC project was formed as an ad hoc group in the organization's staff. One major thrust of the project was to enable the management of MPC to fully "own" the OD process. The other elements of the OD project ad hoc group, the SDC consultants and internal consultants trainied by SDC, were temporary enabling and catalytic forces towards assumption of program ownership by top management. The top management of MPC was organized into an advisory leadership group for the purposes

of the project and was headed up by the commanding general of MPC . The remainder of the leadership group included his immediate subordinates. In addition to the authority granted it by the Army Chief of Staff to conduct its activities, the project enjoyed the support of the commanding general of MPC. The dual nature of the pilot project as both an OD effort and an OD evaluation program created 2 sets of conflicting clients. The initial client was the Army, for whom the evaluation was to be made. After the project was embarked, a decision was made to involve the entire MPC organization in the OD effort, as opposed to a more rigorously controlled effort in only one part of the organization. Thus the whole MPC organization became the effort's client as a user of its services. The effort was passive in that the commanding general of MPC had made the decision to involve th organization in the project,and participation in various effort activities was mandated.

Since all OD activities are, to a greater or lesser degree, data-based, the issue of ownership and dissemination of the data generated frequently arises. Several types of data were generated during the diagnostic and evaluation phases of the MPC project. Survey-generated data was intended for use in effort evaluation, so specific responses were "tagged" to respondents. This data lost some of its confidentiality and became the property of the evaluation client. Other types of non-reactive evaluation data, when of an aggregated nature, were confidential but belonged to the organization. Diagnostic data of a non-survey nature were held confidential as to speicific source, and belonged to the level of the organization from which it was generated. Data was transmitted to various levels of MPC via feedback sessions, senior manager attendance at sensing sessions, and formal phase reports of progress and direction written by the SDC consultants. A portion of the project's personnel resources were either top management or

specially-trained interns drawn from the ranks of the organization's membership. For these individuals, the normal rewards and punishment systems for military or civil service were in effect. The SDC consultants were not subject to normal organizational controls, but were bound by the terms of the consulting contract between them and the Army.

The project underwent considerable growth during its existence. The project grew in concept from simply a tightly controlled evaluation project to an organization-wide OD program intended to have a large-scale, systemic impact. The Army has since viewed the overall impact of OD at MPC as a feasible approach and has moved to institutionalize the lessons learned at MPC into the larger system fabric. This institutionalization took the form of the Army's Organizational Effectiveness (OE) program.

The Air Force has been experimenting with OD since 1971. These pre-institutional efforts have been relatively isolated among several Air Force commands. These commands have included: the Air Force Academy (USAFA); the USAF Wright Aeronautical Laboratories (AFWAL) and the USAF Logistics Command (AFLC). Of the three major organizations performing pre-institutional OD, only the USAFA had a predominantly military population: AFWAL and AFLC are largely civilian-manned Air Force organizations.

The USAFA effort was undertaken with strong support from the top levels of the Academy and was conducted by external consultants. Prior to the completion of the effort, the leadership of USAFA changed, and lack of support from the new superintendent killed the program. However, an OD project steering committee set up prior to the change in leadership managed to continue certain aspects of the effort and established a course in OD in the Academy curriculum.

AFWAL consists of four separate laboratry commands, each of which set up OD efforts. One lab, the Air Force Materials Lab, has had its OD program underway since 1971, and has relied on both internal and external consultant resources. Two other labs, the Air Force Avionics and the Aero-propulsion Labs, have had OD programs since 1974 and have also relied upon both internal and external resources. The Air Flight Dynamics Lab has had its OD program since 1976 and has relied solely upon external consultants.

The most dynamic and successful pre-instituticnal Air Force OD effort to date has been those conducted in AFLC. AFLC has six locations at Air Force Bases in Utah, California, Oklahoma, Texas, Georgia, and Ohio. These efforts have ranged in scope from departmental to command-wide, depending an the level of support.; utilized a variety of approaches (but have centered on techno-structural approaches in half of the efforts). Scme of the efforts established local steering committees to guide each respective effort, but in all cases the actual OD activity expertise was provided by external consultants. Commitment by top AFLC management to adoption of OD prcgrams was made in 1973, and actual program activities were begun in 1974. Each AFLC site was given the flexibility to choose the approach best suited to their respective needs. Each effort was directed at the maintenance centers of each AFLC site.

The techno-structural programs of AFLC alone have survived to date. These prcgrams are the Orthcdox Job Enrichment projects of the AFLC activities at Hill, McClellan, and Tinker AFB's. The remaining plethora of pre-instiutional programs in the Air Force have either terminated or greatly reduced in scope. This devlopment has tended to limit the majority of Air Force OD efforts to techno-structural approaches or those having a more

rational-empirical emphasis such as leadership and management training.

6. Pre-Institutional - Other - Task (II.A.2)

The MPC project defined OD as:

> "....a planned change strategy which provides alternative ways of looking at relationships between people and attitudes of people within and toward organizations. This change strategy focusses on increasing an organization's ability to function effectively by employing appropriate leadership styles and problem-solving mechanisms, and by improving the quality of work life for organization memeb organization members" (Curra and Hallen, 1974).

Under this concept, MPC formally contracted with SDC to undertake the following tasks in order to fulfill its OD evaluation mandate from DCSPERS:

1. Conduct an organizational diagnosis.

2. Provide feedback.

3. Assist MPC in determining goals with respect to OD activities to be used.

4. Tailor OD activities to meet MPC needs.

5. Provide both an interim and final evaluation system to accurately measure project impact.

6. Implement an OD program.

7. Assist MPC in its efforts to make the OD project self-sustaining.

8. Provide conceptual advice for the development of similar OD programs Army-wide.

Specific objectives were set with respect to the two-fold task of the MPC project. One, of course, was to provide an objective assessment of the feasibility for employment of OD methodology Army-wide. In relation to the task of conducting an OD project at MPC, the following objectives were set:

1. Perform a comprehensive, data-based diagnosis of MPC's organization, using a survey, interviews, and sensing sessions.

2. Develop and train a cadre of internal OD consultants, called OD interns, to assist SDC in the implementation of the OD project.

3. Conduct action-planning workshops where management and employees develop solutions to job-related issues and problems.

4. Conduct group dynamics workshops for development of managerial skill.

5. Develop and implement a communications planning model to facilitate vertical and horizontal organizational communications.

development of a "job design" project (a modified job enrichment 6. Assist in intervention emphasizing increased employee involvement in management functions) for several divisions of MPC.

7. Conduct several teambuilding sessions with various work groups at MPC.

Assessment of the overall project was intended to be through a pre-and-post effort paper-and-pencil survey questionnaire developed by SDC. This instrument was developed and administered, but for a variety of complications, not utilized by SDC for evaluation. Instead, all phases of program implementation were evaluated on the basis of subjective (i.e., non-reactive) goal achievement scales developed from data gathered from four sources: key managers, activity participants, interns, and SDC consultants. A longitudinal approach to effort assessment was proposed in the form of tracking changes in organizational action plans developed in the process of ongoing OD activities. AFWAL OD efforts were designed to develop each laboratory's organization, beginning with top management, in areas of problem-solving, greater commitment to organization goals, and greater concern for people as individuals. This has resulted in AFWAL sites establishing corporate goals, facilitating integration of diverse programs, prioritization of programs, establishment of a career planning program, and facilitated the planning process at all levels of the organization. Assessment of AFWAL programs have been spotty. Criteria have been varied but seldom have utilized production measures. They have relied largly on anecdotal evidence and the belief of top management that OD <u>does</u> make a difference.

The ALFC centers utilizing a techno-structural approach implemented a job enrichment design based on the motivational theories of Frederick Herzberg called Orthodox Job Enrichment (OJE). This area of AFLC effort has tended to direct its activities towards the development of increased worker responsibility and job "ownership";

communications; and team-building. The remaining AFLC sites have had more human-processural approaches stressing concept training, feedback, goal setting, and environmental improvement. The AFLC efforts at self-assessment have been difficult, but, due to the industrial nature of the sites' work, tied to productivity outcome measures. Evaluation reports have rated the efforts positiviely as a result in gains in productivity such as cost savings, worker satisfaction, and work output.

7. Pre-Institutional - Other - Technology (II•A.2)

The MPC project's statement of work contract withSDC allowed considerable latitude in precisely what OD tasks and technologies were to be undertaken. The resulting program was highly contigent upon assessed and perceived needs of the client and the competence of the SDC consultants. The resulting program led to an overlapping, three-phase model of consultancy which was employed by the SDC consultants: (1) diagnosis; (2) development; and (3) evaluation. In the course of the three phases, a variety of OD techniques were employed.

In the diagnosis phase, which took approximately 25 percent of SDC's contracted time at MPC, three techniques of data gathering were utilized with varying degrees of efficacy. The technique judged most effective by the SDC consultants was the sensing sessions held by the SDC consultants or interns with a variety of work groups and identified a number of issues and problems. The second technique used was a tailor-made, organization-wide survey administered to surface a broader range of data and to provide a benchmak against which to compare subsequent evaluation data. The third, and least diagnostically effective method was a series of structured interviews held with a number of key MPC managers. All diagnostic data were

fed back to MPC in June, 1973. This led to a series of discussions between the consultants and the project leadership group which set the basic strategy of the project.

The developmental phase of the project attempted to implement OD technology into the organizational fabric of MPC. A number of informational techniques for implementing change were utilized, most of which involved a series of workshops and seminars in the areas of action-planning, group dynamics, communications, job design, and team building.

The evaluative phase was an ongoing effort throughout the developmental phase of the project. Early in the diagnostic phase of the project, the decision was made by MPC to sacrifice the rigorousness of evaluation (i.e., minimize the use of "hard" data like attitude or productivity indices and not to utilize a control group). It was felt that restriction of the effort to a vertical "slice" of the organization would be more deleterious to MPC than would a broad application of OD, even though assessment would be more difficult with the latter approach. Accordingly, the focus of the OD project was redesigned from strictly an evaluation to one which attempted to involve as much of the organization as possible. This decision was very much in alignment with orthodox OD theory: (1) an effort should be system-wide; (2) the practice of OD may be incompatible with research (evaluation) efforts.

One major feature of the MPC project was its use of feedback in the OD process. Feedback meetings between consultants/interns, managers, and work groups were an unending, repetitive task which was indispensible to the project. Further information and developments about the project was transmitted through a series of reports to and

meetings with the project leadership group by the SDC consultants.

In the Air Force, AFWAL has employed a number of standard OD techniques in its efforts, most of which are human-processural in approach. These activities have centered mostly on the middle and upper levels of management at each lab, and have included team building and management developmetn concepts training. The concepts training attempted to expose various levels of management to increased skill levels in areas such as motivation, the use of power and conflict management. Additional OD programs at AFWAL included career planning workshops which attempted to more fully integrate long-range personal goals of employees with those of the organization. One deviation in AFWAL's OD program was a pilot techno-structural effort in the form of secretarial job enrichment.

AFLC OD projects were active programs which were loosely coordinated at the top of the AFLC management, and allowed to vary in approach. Three of the six AFLC sites employed job enrichment interventions, notably the Hill AFB site's Orthodox Job Enrichment program. The remaining AFLC sites developed a potpurri of techniques and styles tailored to their specific needs. These techniques ranged from MBO at Kelly AFB, to paricipative problem-solving at Newark AFS.

The AFLC OD projects nearly all began with "hard" baseline data being taken by attitude surveys. Being production-oriented installations, the AFLC sited were able to attempt to tie objective outcome measures of productivity to OD effort impact. Additionally, non-reactive measures have been employed. The general reaction in terms of outcome measures has reportedly been favorable.

8. Pre-Institutional - Other - People (IV.A.2)

The people who were actively involved in the MPC project came from one of three sources: (1) the consulting firm of Systems Development Corporation (SDC); (2) from within the middle and lower management levels of MPC; and (3) the top leadership of MPC.

The SDC consultants were civilian OD practitioners employed by the company who had bid for and won the contract to perform the pilot project for the Army. They provided the initial skills and competence in OD for the project.

The middle and lower management group provided the manpower for the intern program. The intern group started with an initial cadre (about 17) of interested, key personnel which were trained by the SDC consultants in a number of OD techniques. These interns (numbering about 50 throughout the life of the project) were drawn from both the military (officer and enlisted) and civilian components of MPC and tended to lend credibility to and acceptance of the project's efforts by the rank and file of MPC. They also provided the OD process with invaluable resources such as time, economy, interest, energy, and knowledge of the informal structure at MPC.

The top leadership of the OD project consisted of the senior military members of MPC. Since one goal of the OD project was to assist MPC in accepting responsibility for the conduct of its OD activities, it was vital that the senior leadership of MPC be so involved. The senior members involvement lent authenticity to the project and provided the authority base from which decisions could be made and implemented.

Some of the personnel involved in the MPC OD project

have been integrated into the current CE program of the Army. Other personnel, notably some of the senior officers at MPC, have been transferred to other Army functions and have contributed to the diffusion of OD to the larger system of the Army.

The Air Force pre-institutional efforts tended to rely heavily on external consultants to a greater extent than have the Navy or Coast Guard efforts. Internal consultant capabilities were developed, but as OD projects began to lose momentum, the internal agents left their organizations or were transferred to different jobs. The external consultants have included such prominent figures in the OD field as: Frederick Herzberg at AFLC; Sheldon Davis, Jack Foryce, and William Dyer at USAFA; and George Iehner and Herb Shepard at AFWAL.

9. Pre-Institutional - USCG - Structure (I.A.3)

The precursor to Coast Guard OD efforts was and is the Civil Rights Program which was established in January, 1970. This program developed from a predecessor project called the Equal Employment Opportunity Advisory Staff. Although not a "pure" OD effort, technically speaking, the Race Relations/Civil Rights emphasis acted as a catalyst to the development of two of the current OD pilot projects. It also contributed, indirectly, to the CGLAMS effort. The Civil Rights Program is organized as the Office of Civil Rights within the Coast Guard Headquarters (CGHQ) under the Commandant of the Coast Guard. The Office of Civil Rights has three divisions: Military Equal Opportunity; Title IV and Contract Compliance; and Civilian Equal Opportunity. The Office acts as the program manager for the entire Coast Guard civil rights efforts.

These efforts are conducted by its operational elements located on the staffs of district commanders and commanding officers of headquarters units. The implementation level of the program is the Civil Rights Officer (CRO). This position is collateral-duty function usually assigned to a district inspector or staff officer of a headquarters unit, who is in turn assisted by a full-time Human Relations Counselor/Facilitator (HRC/F). The CRO reports directly to the district commander (HQ unit C.O.), who is, in turn, responsible for program accomplishment to the Commandant via the Office of Civil Rights.

The Civil Rights Program is only indirectly and informally connected to other Coast Guard "people" programs under the auspices of the Office of Personnel (see Appendix B for an organization chart of the Coast Guard). Individual unit commanding officers are also held accountable to their immediate superiors for civil rights/equal opportunity policies and activities. Actual full-time Civil Rights Program billets are identified at each Coast Guard district office (of which there are 12) and at each major HQ unit (of which there are 17). Policies and programs ar promulgated via several channels: (1) directives; (2) conferences; (3) a system of quarterly and annual reports; (4) a complex system of informal and formal complaint procedures; and (5) educational activities such as mandatory Race Relations seminars and discussion sessions (see Appendix C).

The complaint system also represents one aspect of the reward/punishment subsystem of the program. Findings of negligence, mishandling of personnel, or willfull discrimination can be negatively sanctioned in the form of adverse fitness reports or formal charges under the Uniform Code of Military Justice. Further, officers become accountable through their fitness reports for their performance of duty in civil rights/equal opportunity

matters. CRO and HRC/F personnel are subject to traditional military sanctions and rewards for performance of their duties. Information developed via discussion sessions or as a result of complaint procedures become public property as a part of the official record.

Authority for the Civil Rights Program is based on Congressional mandate and executive decree and is organizationally promulgated by a central directive. Support and responsibilities are outlined in service-wide and local Affirmative Action Plans (AAP's). Initially, very little leeway was afforded either DRO's, HRC/F's, or commanding officers regarding program options since the various processes and procedures were extremely formal and participation was mandated. Clientele of the Civil Rights Program is either individual commands, when conducting formal training or discussion sessions; or the individual service member, when conducting complaint inquiry proceedings. Growth of program activities has been managed by creating additional, part-time HRC/F's as collateral-duty functions at local unit levels (see Appendix D).

Two CD pilot projects have emerged as a response to pressures from field users of the Civil Rights Program and the dissatisfaction of CRO's and HRC/F's. One effort, receiving authorization from the Chief of Staff of the Coast Guard, was located on the staff of the Commander, Twelfth Coast Guard District in San Francisco, California. The district commander and his civil rights staff determined a need among the Twelfth District unit commanding officers for an expansion of the existing Human Relations training. This expansion was seen as necessary in order to address broader management issues (see Appendices E and F).

In December, 1976, the Twelfth District asked for and in April, 1977, received CGHQ authorization to begin a

pilot OD effort. Additional support was forthcoming in the form of a replacement officer billet for the HRC/F and a one-time-only line item budget increase to the district for the project. The overall pilot OD project is attached to the staff of the Office of Commander, Twelfth Coast Guard District as a separate component called the "Organizational Development Office". It is not formally attached or related to other Twelfth District "people" programs such as drug/alcohol education, civil rights, or the Senior Enlisted Advisor (SEA). However the OD Office does have informal contact with all of them. The overall project responsibility lies with the Chief of Staff, but day-to-day operations are carried out by the OD project team leader.

The OD Office has two work roles: (1) to assess the impact of Human Resources Management (OD) activities on Twelfth Coast Guard District units; and (2) to act as an external OD consultant to selected volunteer units. Units selected by the OD office as target clients are chosen on the basis of perceived need, the level of commitment by the unit commanding officer to the project activities, and representativeness of the unit type. The project activities operate under the constraints of a limited budget, short project life-span, and degree of unit commitments. However, within these constraints the project consultants are free to utilize OD techniques as far as their training, experience, and the contingent aspects of each situation allow. While no written policy exists regarding the protection of client-generated data, informal commitments and emerging norms have kept information from both the individual and unit levels privileged. The program has no mandatory participation requirements, so the project consultants have, in one sense, had to "sell" their services to prospective clients. However, due to the high support given the project by the district commander and the project members' high credibility, there was more "volunteering" by clients than

"selling" necessary by consultants. Decision-making is a collaborative effort between individual clients and the OD project members regarding actual consulting activities. At the project office level, nearly complete autonomy has been granted the OD Office in nearly all matters. Internal decision-making is consensual. As of this writing no formal plans are currently in effect to continue the project beyond its termination date of 6 June, 1978.

One other significant pilot OD program to emerge from the Civil Rights Program is the Human Relations (HR) Office of the Fourteenth Coast Guard District Office in Honolulu, Hawaii. In July, 1977, the CRC and HRC/F of the Fourteenth District concluded that the Human Relations seminar program was well-received but ineffective in addressing the organizational needs of field units. They adopted a Navy HRM program approach of survey-guided development (see Appendix H) to be used in conjunction with the existing Civil Rights Program.

The HR Office is part of a matrix-type sub-office of the Fourteenth District staff called the Personnel Assistance Counselling Office (PACO). The PACO is a collocated group of functionally-related personnel support specialists (the district's SEA, medical administrator, drug education specialist, and HRC/F-HR Office) who report organizationally to different superiors in the chain of command. The PACO members are collocated and cross-trained to support and integrate each other's programs.

The HR Office is responsible for the district's Civil Rights Program and reports to the chief of staff via the CRO. The HR Office's OD/HRM function is accountable directly to the chief of staff. Overall responsibility for the HR Office program lies with the district commander, but the CRO supervises the HR Office in matters of budget and

administration. The HR Office operates its civil rights and OD efforts under the authority of a Commandant's instruction (Appendix C) and the internal policies of the Fourteenth District (see Appendix H), respectively. Support is provided by the district staff logistically and cognitively by the senior officials of the district. Conceptual and technological support is obtained via the Navy HRM Center at Pearl Harbor.

The HRC/F's role is as an external consultant to clients, who are the district's unit commanding officers. There is no mandatory aspect of the HR Office's program and clients must request assistance for inclusion in the program schedule. The HRC/F acts as a temporary assistant to the unit commanding officer and responsibility for program quality is jointly shared. "Ownership" of program activity and responsibility for effectiveness, lies with the individual commanding officer.

Information generated as a result of OD activity (survey data, interviews, etc.) is regarded as privileged and remains at the organizational level from which it came. Attempts have been made to use survey results as a method of management review of unit performance, but these attempts have been successfully resisted. The policy of the Fourteenth District has been to adopt the Navy's policy of anonymity and confidentiality regarding client-consultant processes. External communications are maintained with the district top management and PACO via activity briefings and informal discussions. Informal attempts are also made to coordinate OD program content with that of CGLAMS'.

The rewards subsystem of the HR program includes individual satisfaction and growth on the part of the consultant and district-level support of unit commanding officers who successfully participate in HR program

activities.

Growth of the effort has been steady, with the numbers and diversity of units participating on the increase. While efforts at first were limited to units on the island of Oahu, a trial project involving outlying Coast Guard units in the Western Pacific has begun. Additionally, several units previously surveyed are beginning to prepare for a recycle of the survey-guided process. At present there are no formal provisions to institutionalize the HR Office program beyond the tenure of the current district leadership or HRC/F.

In July, 1975, the Commandant formed the Leadership Training Program Development Staff which reported to the CG Reserve Training Center at Yorktown, Virginia. The Development Staff was organizationally placed as a project under the Training and Education Branch of the Office of Personnel of CGHQ. The leadership training program was managed by the Office of Personnel. Admiral Siler, the Coast Guard Commandant, took personal interest in the program's establishment and progress.

Although existing Coast Guard "people" programs were reviewed, no formal ties were made with these efforts prior to estblishment of CGLAMS. The Development Staff, however, became the faculty of the first campus of CGLAMS at RTC, Yorktown. The role of the Develcpment Staff was that of research and develcpment of a training curriculum. The Pre-institutional program was an extremely active and aggressive one which exhaustively surveyed both the state-of-the-art of the human-behavior/management/leadership field and the needs and opinions of a diverse sample of Coastguardsmen. While the Deveopment Staff was responsible to the Office of Personnel for its work, the initial focus of their developmental efforts became the leadership

training needs of the first-line and junior middle management. Responsibility for development of the curriculum and establishment of the school itself rested with the Developmental Staff. As a pilot project the staff enjoyed insulation from the competitive resource allocation processes of the service (both financial and personnel). The growth of the development project led to the establishment of CGLAMS at two locations, CGRESTRACEN Yorktown and CGTRACEN Petaluma. It also led to the next pilot project, which the recently institutionalized CGIAMS is currently undertaking (see section I.B.3 of this chapter).

10. Pre-Institutional - USCG - Task (II.A.3)

In June, 1978, the directive authorizing the Coast Guard Civil Rights Program expires. As of this writing, the author is unaware of any planned replacement authorizations, or, if a new directive is planned, whether major changes in the Civil Rights Program are anticipated.

The Coast Guard Civil Rights program considers itself as the mechanism through which ethnic minorities (including women) are to be fully integrated into the mainstream of the Coast Guard organization. This broad-level self definition is based upon several key precepts forming the basis of equal opportunity:

1. Optimum unit effectiveness and readiness is based upon sound leadership and personnel management as expressed in equal and just treatment of all hands.

2. Unit effectiveness is decreased by discriminatory practices.

3. Military personnel functions shall be administered without regard to race, color, religion, national origin, or sex.

4. All military personnel shall conduct themselves within the limits of Coast Guard civil rights policies.

5. The Coast Guard shall not support or condone any program or activity which allows discriminatory practices to exist.

6. The Civil Rights Program will strive to enhance civil rights and human relations throughout the service.

The specific objectives designed to achieve the above listed goals were to be found in: (1) improvement of relationships between minorities and non-minorities; (2) improvement of achievement and opportunities among minorities, especially concerning training, promotion, and job satisfaction; (3) equalization of judicial and non-judicial disciplinary matters between minorities and non-minorities; (4) a reduction of the number and types of discriminitory incidents; (5) improvement of discrimination reporting and elimination mechanisms.

The Civil Rights Program utilized several mechanisms, both input and outcome, for the assessment of its efforts. The output measures took three forms: (1) service-wide surveys (of stratified random samples taken by contractors) of the civil rights climate in the Coast Guard; (2) a tally of civil rights problems (conditions or complaints, both formal or informal) which arose in each district/HQ unit by quarter; and (3) generation of affirmative action plans at the HQ, district, and HQ unit level of the Coast Guard. The input measures included: (1) the efforts expended in furtherence of the Civil Rights

Program; (2) the number of civil rights discussion sessions conducted in each district quarterly; (3) the number of civil rights/human relations seminars conducted quarterly; and (4) the amount of full-time and collateral-duty manhours expended in such activities. Significant issues facing the various levels of the Civil Rights program were aired largely though the system of reports which generated the aforementioned input measures of effectiveness and through the two major surveys previously reported.

The pilot OD project of the Twelfth District viewed itself as having two functions: to investigate OD/HRM, as practiced by the Navy; and, later, to investigate and provide a wide range of OD consultant services to a representative sample of Twelfth District units. The Twelfth District concerns to which the pilot program addressed itself (see Appendix E) are clearly those associated with Navy and other OD foci, i.e., leadership, management, decision-making, motivation, morale, discipline, teamwork, and communication. As a result of the early influence of the Navy HRM System upon the Twelfth District's effort, the formulation of the pilot project's definition of OD became: a systematic study of human relationships which occur within organizations and the application of the findings of these study efforts through the development of management practices which seek to utilize human potential effectively.

The primary outcome of the pilot project was to assess and report on the impact of an OD program patterned, in part, upon the cyclic model of the Navy's HRM program and its impact upon the organizations of the test units chosen to participate in the OD process. The other outcomes of this project fell, generally, into the areas of increased mission effectiveness, increased human satisfaction, improved organizational processes of the client units, and

to establish some base level understanding of what happens when various types of OD interface with the Coast Guard. Additionally, this test project was to be conducted so as to not interfere with the Twelfth District's existing Civil Rights Program responsibilities. However, as the project progressed through the initial start-up phases in late 1976 and early 1977, several difficulties arose which required immediate resolution. These issues related to the task of training and support of the team of CoastGuard personnel who were to act as consultants, choice of particular intervention styles for use with the test units, and the technical complexities involved with assessment of each intervention and the overall project. Several months in early 1977 were spent in securing office space, funding, equipment, and training for the Coast Guard team. The decision was made to explore a variety of styles of CD in addition to the Navy HRM/survey-guided development approach. Finally, outside consultant assistance in the planning and assessment of the project was contracted for.

Assessment of the pilot project took place on two levels: immediate, non-reactive measures of a subjective nature taken after each intervention; and administration of before-after surveys at each intervention site. The non-reactive measures included verbal feedback from among client unit personnel and OD Office personnel, feedback from client unit commanding officers to the district commander, briefings by the OD Office leader to his superior regarding team activities, behavioral observations, and interviews with key client organizational members. The surveys were designed to represent the "hard" data for the project assessment as well as provide initial diagnostic material for intervention purposes.

The basic sequence of events for the project effort involved data-gathering, diagnosis, intervention, and

assessment within each unit. Due to workload, schedule problems, and the transitory nature of the project, the client-consultant relationship was long-term, lasting approximately 9 to 12 months. Each intervention was tailored to client needs, based upon the findings and interpretations of the data. In all cases, a flexible, contingent approach to client issues was maintained by the OD Office. No extensive follow-up to client units was planned due to the limited life span of the project.

The Fourteenth District's HR Office viewed itself as having the task of acting as a facilitator or catalyst of system change in client organizations. Specifically, the HR Office defines its program and efforts as a Coast Guard-modified version of the Navy's HRM System (see Appendix I). In structure and technology, the HR Office program closely imitates and borrows from the Navy experience, but its task focus is somewhat less specific. In a macro sense, the HR Office views itself as a means by which client organizations can change or move their internal systems from one state (say, Likert's System 1) towards another (System 4). To date, this task focus has been upon human and behavioral aspects of systems, utilizing specific behavioral science technology.

The desired outcomes of the HR Office efforts are for client organizations to increase unit effectiveness, equal opportunity, individual member satisfaction, chain-of-command ownership and responsibility for the increase of productivity and problem-solving, and growth of the HR program. There is no pilot program outcome emphasis since local policy has committed the HR Office to a Navy HRM-type approach. Specific outcomes of HR Office efforts at the unit level involve a typical sequence of data-collection, data analysis, feedback, action-planning, implementation, and follow-up. These steps are designed to

produce a command action plan (CAP) and implement improvement activities planned by the command. Consultants assist in addressing issues surfaced by the process.

The assessment of HR Office activities has taken diverse forms: consultant-detected change in issues on CAP's from the same units over time; self-evaluatuions from the HR Office practitioner; verbal and written reports from client units to the district commander; and planned (but yet to be implemented) pre-and-post Navy HRM Survey results comparisons of client units. To date, however, the bulk of the effort assessments of efficacy have been based upon non-reactive measures, measurements of member satifaction, and measuremnets of internal organizational processes based on the HRM survey. No attempt has been made to tie survey results to operational measures of effectivenss.

The task element of the Leadership Training Development Staff was clear-cut and straightforward: exploration of the various strategies and techniques of leadership development then available and the integration of the most appropriate material into a curriculum relevant to perceived Coast Guard needs. The principal outcome measure of the staff efforts was and is the construction and delivery of the present CGLAMS curriculum for senior petty officers and junior and senior commissioned officers.

11. Pre-Institutional - USCG - Technology (III.A.3)

The Coast Guard Civil Rights Program utilizes two basic methods to attain its task functions: (1) power-coercive techniques such as policy directives and promised negative sanctions for non-compliance with civil rights/race relations standards or regulations; (2) concepts-training interventions performed at the unit level

to foster improved understanding of various ethnic groups and interpersonal and intergroup communications. The power-coercive methods include requiring senior line commanders to issue strong policy statements supporting the goals (outcomes) of the Civil Rights Program. These policy statements are often contained in Affirmative Action Plans and usually are action clauses specifying some test of behavior and tasking subordinates with the responsibility for its completion. Other power-coercive methods include the use of formal and informal procedures for processing complaints of any type of discrimination experienced from within the service. Informal complaints are usually handled by local HRC/F resources and represent an authorized means of problem resolution (task achievement) which takes place outside of the chain of command. Typically, informal complaints are collaborative attempts to meet Civil Rights Program standards. Formal complaints can be channelled through two processes: (1) in accordance with chain-of-command procedures outlined in the UCMJ where a breach of military discipline is suspected; and (2) in accordance with procedures of investigation promulgated by the Department of Transportation's Director of Civil Rights. Both of these processes represent formal activities having a high probability of negative consequences for service members found responsible for discriminatory actions.

The other primary tool for achieving Civil Rights Program objectives is a normative-re-educative program of concepts training. These concepts training activities take two forms: (1) a mandatory series of dialogue seminars, called Human Relations Discussion Sessions, which are conducted at each Coast Guard unit on a quarterly basis; and (2) a mandatory human/race relations training seminar conducted on a district/HQ Unit-wide basis by HRC/F's. The discussion sessions are intended to be issue surfacing and unity producing mechanisms conducted by local unit resources

(usually a collateral-duty human relations officer). A more formal program of concepts and values training is represented by the human/race relations seminars, in which participants spend several days learning about and discussing topics such as racial understanding, interracial communications, racism, racial awareness, civil rights policy and programs, and improvement of race relations in the Coast Guard.

The Twelfth District pilot project has undoubtably utilized the widest spectrum of OD technology. The most prevalent of the methods used were several variations of the instrumented survey-guided development techniques, although data-gathering techniques included non-paper-and-pencil methods as well. Over the life of the Twelfth District project, several instruments were either developed or procured off-the-shelf for use as both a basis for intervention and assessment. The first instrument used was the Navy HRM Survey (See section II•B.1 of this chapter for a description of this instrument. Also, see Appendix M).This instrument was administered twice at the same unit (a major shore activity of the Twelfth District), and the resultant feedback process was the catalyst for subsequent intervention activities. Due to some of the resistance expressed by client personnel towards the Navy survey booklet, the second administration of the servey was performed with a booklet suitably (but superficially) amended for Coast Guard use (see Appendix J). The individual surveys were computer processed by the Navy and the data fed back to the Coast Guard command as per Navy HRM doctrine.

The second survey instrument used was another off-the-shelf questionnaire produced by Behavioral Sciences Resources (a consulting firm with William Dyer, Weldon Moffitt, and Philip B. Daniels in association) called the

Management Profiling Questionnaire. This instrument is a behavioral style inventory normally completed by a manager's subordinates or peers to provide confidential feedback on the manager. The instrument is composed of 43 closed and open-ended questions organized around key management behaviors such as goals, communications, decision-making, motivational ability, use of influence, control, and leadership. In addition to the open-ended question feature, the Management Profiling Questicnnaire also has the ability to include "is" and "ought to be" responses on closed-ended questions. This questionnaire thus provides a variety of data to a subject manager regarding the impact of his behavior on subordinates and collegues and a measure of the perceived appropriateness of that behavior. This instument was chosen as an intervention data-gathering device to explore the applicability of another machine-scored, processed, and analyzed off-the-shelf instrument to the Coast Guard. The package was employed as an alternative to use of the .Navy survey. It was employed with one unit of the project in a before-after design and was used to help focus and structure intervention activities.

The last paper-and-pencil survey instrument used was a device developed by the OD Office and was called the USCG Organizational Development Questionnaire (see Appendix K). This instrument was developed to examine the feasibility of utilizing a tailor-made device for Coast Guard organizational development use. Prior to the actual development cf the Organizational development Questionnaire, an exhaustive series cf in-depth interviews and issue-sensing sessions were completed by OD Office members. These interviews were conducted in the course of entry activities at units where this questionnaire was actually to be employed. The data were analyzed via force-field analysis and were utilized as the basis of the Organizational Development Questionnaire. The interviews

and sensing sessions represented the major use of "scft" data collection in the project. The Organizational Development Questionnaire was a three part instument. The first of the two parts contained items ccvering issues and ccncepts comncn to all units in the project. The second part contained portions of the Personality Orientation Inventory. The third part containing items specific to the unit to be surveyed. The survey items were all closed-ended and of either 5 interval Likert or forced-choice type.

The instrumented survey data represented the "hard" data portions of the Twelfth District project. In all cases, after administration, the survey data were computer processed, consultant analyzed, and fed back to the client commands alcng with pertinent data from the interviews and sensing sessions. Interpretaticns of the data were jcintly undertaken by the client unit's management and the OD Cffice consultants. Improvement actions (interventions) were designed during the course of this interpretive process.

Since the consultancy mcdel exhibited by the OD Office was eclectic in approach, the interventions tended to follow the same pattern. Interventions were collaboratively scheduled by the command and OD Office. These activities ranged from concepts training of CGLAMS material with large contingents of client command personnel to individual process consultation for key client members. All OD activity was performed on-site at the client command.

The Fourteenth District program technology is wholly based upon the Navy HRM approach to survey-guided development, particularly in its use of the HRM Survey. In contrast to the eclectic approach to data-gathering cf the Twelfth District, the HRM Survey represents the principal data-gathering mechanism fcr the Fourteenth District HR Office. Interviews supplement the survey <u>after</u>

administration on an as-needed basis. The Fourteenth District program differs from the Navy approach in two major areas: (1) participation is not mandated by district policy (although individual members' participation in OD activities may be compelled within client units); (2) no formal time frame is allocated for unit participation in OD activities as in the Navy's Human Resources Availability Week (HRAV). All participation at the unit level is scheduled at the client command's convenience. Aside from the primacy of the survey as a data collection and diagnostic tool, a contingency approach to interventions characterizes the HR Office approach. Appendix I diagrams the consultancy model of the Fourteenth District program, which is closely patterned after the Navy seven-step HRM cycle.

Intervention activities are based upon diagnosed and perceived needs of the client, with workshops, seminars, and action-planning representing the bulk of the HR Office services offered in the post-survey portion of the OD cycle. Workshop topics typically include time management, management of effective meetings, human behavior, force-field analysis, transactional analysis, and communications. Additionally, the HR Office collaborated with the Navy HRMC at Pearl Harbor in the conduct and evaluation of a newly-developed OD system called TOTD - Task Oriented Team Development. TOTD was conducted aboard a Coast Guard client command. Finally, the HR Office has maintained its Civil Rights Program functions of race relations counseling, processing of informal complaints, and seminar presentations. Post-survey activities are held aboard client commands as are follow-on activities after interventions.

Assessment of the impact of HR Office-sponsored OD activities is primarily performed via second administrations of the HRM Survey and noting the change when compared to the

first administration. Supplemental assessment methods include non-reactive measures such as client feedback, consultant self-evaluation, and changes noted in updates of client CAP's after interventions. Long-range assessment plans involve cooperation with HRMC Pearl Harbor, since that command is the repository of all Coast Guard-generated HRM Survey data. Before-and-after analyses are anticipated as a part of the HR Office program assessment but require the compiliation of a larger bank of second-wave data. All Coast Guard survey data is compared to similar Navy unit aggregated data as a normative base. As yet, no studies have been performed to link Coast Guard HRM Survey data with any outcome measure other than the satisfaction index which is already a part of the survey.

The Leadership Training Development Staff of CGLAMS utilized a form of delphi technique in its accomplishment of its assigned task. Extensive studies and interviews were conducted both industry and Coast Guardwide to identify possible curriculum concepts and training needs, respectively. The first 6 months of the Development Staff's existence were consumed in this activity. The CD and management development systems of many government activities (military and civilian) and the private sector were surveyed by staff members. Relevent techniques, theory, and concepts were evaluated for applicability to Coast Guard needs. The perceived needs of the Coast Guard for lower-level management and leadership training was assessed by an intensive, but somewhat haphazard, program of visits to a variety of Coast Guard field units by Development Staff personnel. No attempt to conduct a random sample was made. During these visits, exhaustive interviews were conducted with as many Coast Guard members as possible, from the grades of seaman to rear admiral. The interviews were informal, utilizing mostly open-ended questions. These data were assembled by staff members at RETRACEN Yorktown and

later integrated into the initial curriculum by collective action.

12. Pre-Institutional - USCG - People (IV.A.3)

The Civil Rights Program has approximately 20 collateral-duty CRO's and 25 full-time HRF/C's assigned to it. Additionally, approximately 7 civilian equal opportunity specialists are scattered among several district offices and HQ units. The CRO's are nearly all senior officers at the O-5 to O-6 level. The HRF/C's as a group are composed preponderantly of senior, experienced enlisted personnel. They are often members of ethnic minority groups, in the E-6 to E-9 range, and have extensive operational experience in their occupational specialties. The small number of junior officers acting as HRC/F's are reserve-commissioned graduates of Officer Candidate School (OCS), in the grade of O-1 to O-2, civilian college graduates, and serving on their initial commissioned tour of active duty without prior operational experience. All HRC/F's receive 12 weeks formal race/human relations training from the Defense Race Relations Institute (DRRI) at Patrick AFB, Florida.

CRO's usually have full-time staff responsibilities in addition to their civil rights positions. Being senior career officers, their background is usually of a diverse administrative and operational nature. As a result of their positional and organizational power, their credibility and influence in civil rights matters can be significant. The junior officers in HRC/F positions are generally in a position opposite that of their CRO's: they have little experience or positional power in the Coast Guard. Their influence and credibility tends to come from a personal or referent base. Senior petty officers in HRC/F billets tend

to enjoy all the types of influence listed for CRO's and junior officers except positional power. CRO's are selected for duty on the basis of their district commander's or commanding officer's judgement and local precedents. HRC/F's assignments are CGHQ-controlled via normal personnel channels. Senior petty officers who successfully complete an HRC/F tour normally rotate back to their occupational specialties after a 3 year tour, but may be considered for future reassignment to the program if they desire. Senior petty officer HRC/F's are usually volunteers. Junior officer HRC/F's are usually assigned to duties immediately after completion of OCS and spend 3 years in the postion. If they are retained on active duty beycnd their initial 3 year tour, they will be rotated to an operational billet. Junior officer personnel are not normally reassigned to future civil rights tours in the field. Some junior officer positions in the Civil Rights Program exist at the HQ level in the Office of Civil Rights, but no prior Civil Rights Program experience is required. The Head of the Office of Civil Rights is a senior civil service official and his deputy is a senior commissioned officer (an O-6).

It is from the Civil Rights Program background that the personnel comprising the pre-institutional program of the Twelfth and Fourteenth Districts emerged. Their total numbers are small and include persons from outside the Coast Guard Civil Rights Program sphere.

The Twelfth District CD Office consisted of 2 full-time consultants engaged on the pilot project task: one commissioned (O-2) and one enlisted (E-4). Outside consultants and collaborators included: (1) a consultant from the Stanford University Graduate School of Business (who was formerly an active-duty Coast Guard officer) under contract to provide effort assessment services (see Appendix B); (2) a team of Navy HRM Specialists from the HRM

Detachment at NAS Alameda; (3) a Coast Guard officer student (an O-3) enrolled in the HRM curriculum at the Naval Postgraduate School, Monterey; and (4) in the latter days of the project, the staff HRC/F (an O-1) of the Twelfth District.

The selection of personnel for the pilot project did not follow the normal personnel assignment process due to the uniqueness of the program. The two full-time consultants were assigned "out-of-the-hide" (see Appendix G) from the personnel resources of the Twelfth District office staff. The additional resources in the pilot project participated in the various activities according to need, background, and contracted arrangement. In addition to the DRRI training afforded the two full-time OD Office members and the district HRC/F, special training included: (1) special facilitator training by Hersey and Blanchard through the NTL/Learning Resources Corp.; (2) completion of the CGLAMS Junior Officer Leadership and Management course (JOLAM) for the two commissioned officers; (3) special HRM System familiarization training by the Navy; and (4) intensive self-study of human behavior and OD technology by the two full-time members. Additional professional training, such as the HRM master's program at the Naval Postgraduate School or the short-term OD resident schools offered by the Navy or Army (HRM Specialist School or the OESO training at OETC), would have been desireable but not feasible due to program authority, budget, and time constraints.

Due to the unique exploratory nature of the pilot project, no typical career patterns for potential Coast Guard OD practitioners can be predicted. It may be hypothesized that the personnel involved will follow career paths comparable to normal enlisted or officer patterns and commensurate with their respective status' and the Civil

Rights Program.

The HR office of the Fourteenth District is the smallest of the Coast Guard OD efforts. Its principal agent is the district HRC/F, an E-6 who was assigned via the normal Coast Guard personnel assignment process. Also included in the HRO office effort were two Navy officers from HRMCPearl Harbor, who participated both in the delivery of the TOTD program and on an ad hoc basis.

The Fourteenth District HFC/F's training has included DRRI, the HRM master's extension program of Pepperdine College, OJT experience at the Navy HRMC, and various short-term professional seminars.

The Leadership Development Staff that reported to RESTRACEN Yorktown consisted of 6 people: two commissioned officers (one O-5 and one O-3) and 4 enlisted men (E-7 to E-9). All personnel had wide operational and staff experience, many having had tours at training commands as instructors. Each of the enlisted men were hand-picked after a careful review process from an applicant pool generated by a Coast Guard wide solicitation for personnel to participate. Since many of the Development Staff personnel are still part of the present, institutionalized CGLAMS program, further discussion of the people variable of the precursor CGLAMS program will be deferred until section IV.B.3.

C. INSTITUTIONAL ANALYSIS

1. Institutional - Navy - Structure (I.E.1)

Upon the disestablishment of the HRMP in February, 1972,

the old structure was incorporated into the Command Development Department (CDD) of the Human Relations Development Center (HRDC). The HRDC was then an operational Navy unit and part of the Naval Shore Establishment located at Newport, Rhode Island. Organized as a layered hierarchy, the CDD's departments were functionally arranged to implement the Pers Pc-developed programs in race relations, drug abuse, alcohol abuse, intercultural relations, and the new OD program. Many of the program functions previously held by the Pers Pc organization were transferred to the new field command activity in Newport.

In May, 1972, the Human Realtions Project Office underwent a name change to become the Human Resource Development Project (HRDP) and its director was designated the project manager. Shortly thereafter, the Newport-based center was renamed as the Human Resource Development Center (HRDC) and the establishment of three additional HRDC's was announced. The new HRDC's were to be located in Honolulu, San Diego, and Norfolk; and the Newport HRDC was to be the template for the new HRDC's organization and function. The HRDP effort received rapid increases of funding levels and manpower inputs during this time. Each HRDC was under the command of a senior Naval officer who in turn reported to the HRDP project manager, a flag officer in the Bureau of Naval Personnel.

During this phase of the Navy OD effort, only the Newport HRDC was actively pursuing a consultant role. Its services were voluntary, so Center personnel had to "market" their servies to the fleet units based at Newport. At this point, there was little senior line management involvement in the Command Development and other programs. Other problems related to scheduling of services, inter-program competition, program time demands, lack of standardization, and lack of clear-cut objectives, all of which served to

limit the effectiveness of the OD effort.

In 1973, major changes took place in the HRDP at the direction of top Navy policymakers and which were subsequently finalized in 1974 by the issuance of a Navy-wide directive establishing the Human Resources Management (HRM) Support System. These changes in the Navy OD effort provided the foundations for the present HRM program. The Command Development program had a Navy-wide survey added to it and has become a survey-guided approach. A leadership and management education program has also been added. The HRM system has as its principal operating units the four HRDC's, now called Human Resource Management Centers (HRMC's), who in turn have subordinate detachments (HRMD's) in areas of smaller fleet unit concentrationns. A fifth HRMC is laocted at Washington, DC, to provide services to the Naval Shore Establishment. The HRM program is under the overall sponsorship of the CNO, and responsibility for accomplishing change rests with the major line commanders of each fleet. Staff billets, HRMC/D's and attendent resources were transferred to the fleet commanders to enable them to accomplish these tasks. The responsibility for HRM system support rests with the Chief of Naval Personnel, who in addition to providing resource support, operates the institutional personnel management system which selects and assigns personnel to fill HRM billets at centers and on staffs. The training of personnel to fill consulting billets in the HRM system is performed through the Naval training system under the Chief of Naval Education and Training (CNET).

The HRM process is a time-phased effort, called the Human Resources Management Cycle, in which participation is mandatory for fleet units. The system's clients are the individual fleet units, personified by the ship's commanding officer. Since time (5 days per 18 - 24 months) in a ship's

operating schedule is dedicated to a portion of the HRM program activities, the HRM system can be thought of as passive: no active marketing of services is required on the system's part. Clients are made available to HRMC/D's on a regular basis by fleet operations schedules.

The principal work role of the HRM system is built around the HRM consultants, who are organized into teams within the centers and detachments. The consultants are assigned to a client by the HRMC commanding officer and act as temporary staff members to the client commanding officer during the HRM Cycle. The consultant team is reponsible to both the client and the HRMC commanding officer for program implementation. Within the constraints of the HRM system, the consultants are free to operate as their training and experience allow. However, strict policies of confidentiality and anonymity regarding client or participant generated data are in force.

Communications and data flow between consultants and clients and within centers is supported and encouraged. This allows for system-wide decision-making practices which are typically participative. The rewards and punishment systems for consultants are primarily those traditionally available in the military service. Additionally, a number of rewards intrinsic to the nature of OD work, such as personal growth, challenging work, and increased training opportunities exist. Punishments for poor performance range from poor job evaluations to formal disciplinary action.

2. Institutional - Navy - Task (II.B.1)

The stated purposes of the newly amalgamated HRDP was to plan, establish, implement, and coordinate programs for the development of human resources in the Navy. The intended outcomes of these objectives were the overall goals of

increased organizational effectiveness and excellence. The original Newport CDD and later the four HRDC's supported the HRDP's goals by the objective of more fully integrating men and mission through the implementation of programs in race and intercultural relations, drug and alcohol abuse education, and human resources development (OD). However, lack of clear-cut effort outcomes and effective assessment procedures limited the impact of the overall program effort. With the revision of the HRDP into the HRM Support System, major changes in the clarification of the effort's task took place.

The current HRM system's intended outcomes are broadly listed as improved mission achievement and increased human satisfaction. Specific outcomes under the category of increased mission effectiveness include:

1. A higher state of operational readiness.

2. Improved communications at all levels of command.

3. Increased involvement by the chain of command in efforts to improve productivity and effectiveness of human assets.

4. A reduction in the number of adverse overseas incidents.

Specific outcomes under the category of increased human satisfaction include:

1. A better awareness of the DoD Human Goals Credo.

2. An improved image of the Navy as a profession.

3. Better leadership and management practices observed

throughout the Navy.

4. To insure equal treatment of all personnel in disciplinary and administrative matters.

5. Increased satisfaction of members with foreign duty assignments.

6. Better understanding of the need for high standards of individual conduct.

7. An increased organizational ability to combat substance abuse problems.

8. Improved personnel retention.

9. The development and updating of a written human goals action plan by all Navy units.

Assessment of individual OD efforts are performed primarily by the client commanding officer who submits a written report to the HRMC/D on the consultant team's activities. Additional assessment may be made by a re-administration and comparison of the HRM Survey with the first administration.

Assessment of overall HRM system impact is tasked to the Naval Personnel Research and Development Center (NPRDC) in San Diego. Several attempts have been made to compare aggregated HRM Survey data to operational (mission) effectiveness and human satisfaction measures for a group of U. S. Pacific Fleet units. The mission effectiveness measures selected were Refresher Training (REFTRA) and Naval Status of Forces (NAVFOSTAT) reports. The human satisfaction measures selected were non-judicial punishment (NJP) rates and first-term re-enlistment rates. Of the

measures selected, only NAVFORSTAT and first-term re-enlistment rates showed any statistically significant improvements for units having undergone HRM activities as compared with units which had not. While these studies do not necessarily establish or prove the effectiveness of OD in the Navy, they do point out the difficulty encountered in performing any kind of OD assessment.

3. Institutional - Navy - Technology (III.B.1)

Much of the technology, models, and concepts developed by the HRMP group were carried over into the new HRDP/CDD effort. The initial intitutionalized efforts concentrated on providing seminar, workshop, and feedback services to clients. In 1973, however, research sponsored by the Office of Naval Research indicated that a standardized organizational attitude survey instrument developed for Navy use was feasible. This survey, patterned after the Intitute for Social Research's Survey of Organizations, was added to the seven-step model utilized by the Command Development program as the basis for a survey-guided approach to Navy OD. A decision was made to commit the Navy to a survey-guided development approach and was included in the design of the HRMSS.

The present HRM system is thoroughly configured to a nine-step, survey-guided model of OD aimed at the development of individual units. The foundation of the system's technology is an 88 question survey package called the HRM Survey. The survey is organized around the Likert causal-flow model of organizational functioning and provides data on a five-choice Likert scale in six areas: command climate, supervisory leadership, work group processes, outcome measures (like satisfaction and individual - organizational goal integration), and specific HRM topics (i.e., equal opportunity and substance abuse). The survey

is designed for computer scoring and processing, with the data capable of being arrayed in a variety of ways on compuerized reports. The data is also entered into a Navy-wide HRM data bank which is maintained by NPRDC for use in system-wide research and assessment efforts. The data bank also provides a normative base for individual unit comparisons during survey feedback activities.

The Navy OD effort revolves around an 18 - 24 month cycle called the HRM Cycle. The nine steps of the cycle are designed to assist the command in meeting the Navy HRM program requirements of having a survey and Human Resources Availability (HRAV) week conducted, developing a Command Action Plan (CAP), and conducting follow-up activities. The first step of the cycle involves the initial visit of the HRM team in response to the fleet commander' establishing the time frame of a unit's HRAV. The second step entails data gathering and involves the administration of the HRM Survey. The third step involves feedback of survey data to the client and analysis by the client (with consultant assistance) of his data. The fourth step involves goal development to focus command attention and prioritization of issues raised in steps 2 and 3. The fifth step consists of joint planning by the consultants and the command towards the activities to be carried out during the HRAV. Step six consists of the conduct of an HRAV and its attendent activities. Step seven involves the implementation of action plans made during the HRAV and the promulgation of a written CAP by the client. The eighth and ninth steps involve CAP follow-on, monitoring, and a follow-up visit by the consultants several months after the HRAV. At this time, a re-administration of the survey can be arranged.

The HRAV, which, along with the survey, constitutes the bulk of the services offered by the HRM program. The HRAV design often takes the form of workshops and seminars

tailored to the client's needs. Additionally, other HRM program requirements related to race relations and substance abuse education may be performed at this time. The HRAV is usually five working days in length and typically involves ten to forty percent of the client's personnel. HRAV activities are normally performed off-site (usually at the HRMC/D) and are conducted by the consultants.

Techniques in the Navy HRM consultant inventory include MBO, team building, process consultation, conflict management, time management, action-planning, decision making, communications, problem solving, transactional analysis, job enrichment, and role clarification.

4. Institutional - Navy - People (IV.B.1)

At the time of the disestablishment of the HRMP, approximately one half of the original project group members opted to join the CDD effort. Those who did not join the CDD were either transferred back to regular Navy duties or became the nucleus for the new HRDC's. As the HRDC's took shape, additional personnel were transferred into the program to meet increased staffing requirements. To train the new personnel input, a 217,000 dollar contract was awarded to a civilian consulting firm to provide Command Development Specialist Training in four ten week cycles.

The present HRM system involves approximately 700 people in full-time HRM billets. Of these, about 400 are consultants assigned to HRMC/D's, with the remainder in administrative, support, or staff positions. The consultant ranks are nearly equally divided between senior petty officers (E-6 to E-9) and middle-grade commissioned officers (O-3 to O-5) and include ethnic minorities and women. Consultants receive formal OD and HRM system training at a twelve week school located at NATC Memphis, which is under

the jurisdiction of CNET.

One of the determinations to come out of the Command Development efforts was the necessity for consultant credibility with clients for program success. Consultants had to show some conformity with prevailing Navy norms in order to gain entry at the top and middle levels of the organization. The alternative chosen to achieve this was the policy to use internal consultants recently drawn from management positons in operational tours. The overall strategy involves pairing an officer with a senior petty officer as subunits of consulting teams in order to capitalize on the stregnths of each individual's background. Consultants are selected for duty through the traditional Navy personnel management system, preferably (but not necessarily) as a volunteer. Previous experience in the HRM system or appropriate educational or occupational backgrounds are also taken into account.

The usual tour length for a consultant is approximately three years, followed by rotation back to the member's occupational or warfare specialty. Successful completion of a consulting tour may result in an appropriate experience code to the member's official record and consideration for subsequent reassignment to the HRM system.

5. Institutional - Other - Structure (I.B.2)

In July, 1975, drawing upon the experience and capability developed out of the Military Personnel Center (MPC) OD project and other small OD projects, the Army established the Organizational Effectiveness Training Center (OETC) at Fort Ord, California, and began the task of developing an organic OE (OD) capability within the structure of the service.

The Army OE program represents a decentralized, bottom-up-designed approach to OD. The CE program is decentralized in the sense that day-to-day operations and control of OE activities rely upon the actions of local clients and CE resources. System-wide OE efforts exist only in the form of the training and research and development support provided by OETC and broad high level policy authorization provided by the Army Chief of Staff, General Bernard Rogers. The OE program is designed bottom-up in the sense that local Army Commanders from the brigade level and higher have great latitude in specifying the relationship and utilization of OE resources assigned to him without a heavy emphasis on standardization from a central, policy-making OE directorate.

The central figure in the OE system is the local Army unit Commander, who is charged with the effective functioning of his unit in the completion of assigned missions. The primary resource to the unit Commander for the improvement of his organization is the Organization Effectiveness Staff Officer (OESO). OESO's are permanent members of commanders' staffs at units ranging from brigades to the major commands (MACOMS) of the Army. OESO's are also attached to the staffs of the Army Chief of Staff, installations, and service schools. Support and training of the OE effort is provided by OETC, a subordinate unit of the Army MACOM, the Training and Doctrine Command (TRADOC). The OE program is authorized by Army regulation (AR700-76) and it receives enthusiastic support from all levels of the Army structure, including its highest ranking officer, the Army Chief of Staff. Additional support for OE comes in the form of policy and recognition from various satisfied users of the OE process and resources.

Key to OE is the concept of OE as a <u>process</u> to be utilized by Commanders towards mission accomplishment. The

OE process is to be used in conjunction with other "people program" resources such as Equal Opportunity Staff Officers and Chaplains available to the Commander in the achievement of organizational improvement. The Army OE program has both passive and active features: (1) the program is passive in the sense that all Army commands must develop the capability to perform OE, which is the only mandatory program feature; (2) the program is active in the sense that participation in OE activities is voluntary and at the discretion of the local unit Commander, even down to the platoon level. This voluntary aspect of OE utilization requires that the OESO "sell" his services to potential clients. Since the OESO's work role is that of an internal consultant, the OESO has a long-term, continuous relationship with his clients. As an integral member of a unit staff, the OESO is subject to the same reward and punishment system as his clients.

The OESO's clients are the autonomous sub-units of the command to which he is attached, such as battalions or companies subordinate to a brigade. Since the role of the OESO is carefully spelled out as a resource, final authority, responsibility, and ownership of all activities and data belongs to the initiating client unit Commander. This results in a confidentiality policy covering OE activities and data which encourages the use of OE. The credibility of the OESO as a helping resource is further enhanced by this confidentiality policy and avoids OE being stigmatized as a "stovepipe" program which circumvents the chain of command or acts as a report-card system.

Information and developments about OE are disseminated largely through the OETC. OETC is charged with assisting the standardization and institutionalization of OE and does so through curriculum, briefings of key Army Commanders, and publishing various manuals, journals, and technical documents service-wide. At the OE user (client)

level, information and data is transmitted through the chain of command, via the OESO, in the form of reports or feedback sessions of data gathered.

Acceptance and growth of the OE program is increasing in the Army. Recent system-wide assessment efforts by OETC have shown client demand for OESO services outstripping resource availability. Army Commanders' acceptance and encouragement of OE has been demonstrated by the policy and organizational support given OESO's. Growth towards expansion and further institutionalization of OE can be seen in General Rogers' statement that "...my goal is to institutionalize OE...so that after a few years people will say, Didn't we always do it this way?" Further growth plans rest in the areas of NCO involvement with OESO's as consultants, further use of civilians in OESO billets, and expanded use of automated data-based OD technologies such as those used in survey-guided development.

In April, 1975, an ad hoc group, called the Air Force Management Improvement Group (AFMIG), completed a study directed by the Air Force Chief of Staff which examined many non-technical, quality of life aspects of the Air Force. One of the most salient findings of AFMIG related to the poor perception of Air Force leadership and management styles held by a large percentage of personnel. This led AFMIG to recommend that an agency be created within the Air Force to revitalize leadership and management training for supervisors organization-wide.

Based upon the AFMIG recommendations, General David C. Jones, then Chief of Staff of the Air Force, established the Deputy Directorate for Human Resources Development (DDHRD) under the Directorate of Personnel Plans of HQ, USAF. DDHRD was charged with setting policy for, coordinating, and monitoring all OD activities within the

Air Force.

In addition to the creation of DDHRD, the Leadership and Management Development Center (LMDC) was established as the major OD field activity of DDHRD. LMDC is physically located at the Air University, which is situated at Maxwell AFB, Alabama. LMDC was to be the parent organization for mobile Leadership and Management Development (LMD) teams, which are, in turn, field consultation and education teams. LMD teams are charged with providing leadership and management education seminars to all levels of Air Force supervisors, and providing management consultation services to host base Commanders and their subordinates.

The first LMD team was formed in December, 1975, and ensuing client demand for LMD services caused the formation of a second and third team by October, 1977. Each team consists of 10 members, who conduct team activities throughout the Air Force, world-wide. Teams are often augmented when client organizations are particularly large, with augmentees drawn from various staff elements of LMDC.

LMD teams are essentially organization and work group process educators and facilitators. Individual or technical issues are not under their purview, and when encountered during the course of team activities, are normally referred to appropriate base resources (i.e., Chaplains, medical department, or social actions officer). LMD teams are essentially outside consultants whose program is "passive" in the sense that a team must be invited to a host base by the installation Commander. The base Commander is therefore the primary client of the LMD team, and it is upon his support and authority the program's effectiveness relies. Secondarily, the whole host organization is considered as a client. Data gathered in the course of consultation is transmitted via the internal base chain of

command to the base Commander. Copies of the LMD team's report on activities and data are filed with the base Commander and at LMDC, where a policy of "reasonable confidentiality" is followed and precludes its transmittal to higher authority except for research efforts (in which case the data is "laundered") or in highly unusual situations.

The LMDC effort, in addition to ongoing OJE efforts in AFLC, represeents one of the most salient features of current Air Force OD. Both efforts are expected to grow, with the LMDC program evolving into a more Navy-like HRM appearance as it develops a data-based, survey-guided development capability.

6. Institutional - Other - Task (II.b.2)

The Army definition of OE is:

> "...the systematic military application of selected management and behavioral science skills and methods to improve how the total organization functions to accomplish assigned missions and increase combat readiness. It is applicable to organizational processes (including training in interpersonal skills) and when applied by a Commander within the organization, is tailored to the unique needs of the organization and normally implemented with the assistance of an CESO."

OE is viewed by the Army as a four-step process, as opposed to a thing or resulting in a tangible end product, by which organizational improvement takes place. The OE process is geared to positively affect key organizational processes such as communications, problem-solving, decision-making, conflict management, and the setting of

goals objectives. The aim of OE is to assist the Commander in his units' improvement. This improvement should result in a strengthened chain of command, improved leadership and command practices, increased organizational commitment within unit personnel, increased operational readiness, enhanced mission accomplishment, and to more fully integrate the OE process into the fabric of the Army Organization.

The central coordinating institution of OE, the OETC, has specific tasks in support of the overall OE program. These tasks include:

1. To develop and refine OE concepts, procedures, methodologies, technologies, and techniques.

2. To train selected personnel in OE to become OESO's

3. Conduct evaluation activities in support of OE.

4. To provide technical advisory services to MACOMS on implementation of OE in their Commands.

5. To develop literature pertinant to OE in the Army.

6. To conduct OE related leadership and management development training.

7. To maintain a central information source on OE applications and research within the Armed Services and civilian organizations.

8. To maintain contact with operating OESO's and provide advanced skill development training and materials as required.

The Army has tasked CETC to provide a comprehensive OE evaluation program to study the impact of OE at all levels of the Army. The OETC has begun a three and one half year evaluation plan which began in March, 1977, and includes five overlapping phases. The emphasis of the OE evaluation is towards action-research as opposed to strictly a cost-benefit description. This allows for a participative approach between evaluators, evaluatees, and clients which should result in an improved OE system more responsive to user needs. The evaluation process is a systematic one utilizing both "hard" data, lending itself to a quantitative analysis, and "soft" data, allowing for a more subjective analysis. To date, the data for analysis has been gathered via mail-out questionnaire of OESO's and interviews of selected OESO's by OE evaluation study group members.

Assessment of individual OE effort activities by OESO's and clients is a cornerstone of the CE program. It is geared towards the assessment and improvement of previous OE efforts, not the client unit. The assessments may take a number of forms, including non-reactive measures or "hard" data from post-effort questionnaires.

The primary objective of the LMDC program in the Air Force is to enhance combat readiness. To this end, the LMD teams operate as special assistants to local Commanders as educators and facilitators of mission effectiveness. The overall objectives of LMDC are:

1. To develope a common philosophy of leadership management for the Air Force.

2. To conduct research in the field of leadership and management.

3. To promote leadership and management concepts

throughout all USAF professional military education programs.

4. To provide education for leadership and management educators throughout the Air Force.

5. To provide management consultation services at the wing/base level through the use of travelling consulting teams.

6. To provide education for USAF Commanders and supervisors to improve their understanding of leadership philosophy and management techniques. To achieve these objectives, LMD travelling teams were created and are charged with: (1) providing on-site instruction in appropriate leadership and management concepts and techniques to Air Force Commanders and supervisors; (2) assessing the leadership and management environment and provide feedback on system-wide problems; and (3) providing L & M consulting services.

Assessment of LMD team efforts to date have been largely through the use of non-reactive measures such as consultant self-evaluation and written reports to LMDC by host installation Commanders. Anecdotal and "grapevine" (informal communications) testimonies are also cited as part of the effort assessment system.

A key feature of the LMD team effort, in addition to educational services, is the generation of a report from the team leader to the host Commander identifying issues raised in the course of consulting activities. This report also contains the LMD team's recommendation for solution/resolution of the issues. Decision-making authority and solution implementation, however, rests with the host Commander.

7. Institutional - Other - Technology (III.b.2)

The Army OE program is quite contingent in approach and eclectic as to method. Stress is placed on the OESO's ability to tailor OD skills and technologies to the needs of his client. As such, there is no specific commitment to any particular theory, although interest is growing in the program to introduce increased data-based methodology, such as survey feedback.

The foundation of the Army program's effort lies with what is called "The OE Process." This is a systematic, four-step approach which has assessment, action-planning, implementation, and evaluation as its principal model elements. All OESO's are trained in the use of this model.

Assessment means the initial data gathering phase of an OE intervention and is performed by the OESO after he makes entry into the client organization. It is essentially a "snapshot" of the particular subsystem of the client organization as requested by the unit Commander. The assessment step may utilize a variety of techniques such as behavioral observations, individual or group interviews, questionnaires, surveys, or all of these methods. The action-planning step is jointly conducted by the OESO and the Commander on the basis of data gathered in the assessment step and the perceived needs of the unit. This step considers possible courses of action towards unit improvement and makes provision for their implementation. The final decision authority for what is to be done resides with the unit Commander. As a result of the planning step, the Commander initiates the actions desired in the implementation step. This step is often completed with the assistance of the OESO, who may provide a variety of training or consultation services. Training may be in the

form of workshops or seminars and may include: problem-solving techniques; communications; career developemnt; counseling skills; LMDS Training; meeting effectiveness; and time management. Use of the adult learning model is emphasized in utilizing workshops or seminars. Consultation services of the OESO may include: team building; job design; organizaticnal mirroring (feedback); process-consultation; role clarification; goal-setting; MBO; and management coaching. The final step of the OE Prccess is the evaluation step. This step is not for unit evaluation, but to evaluate the impact of the OE activities from a systemic perspective. Methods similar to the assessment step are used, and the evaluation step may be used to re-enter the OE process if the unit Commander desires.

The CE Process focusses upon group-level processes and improvement. It is not intended to be a one-shot "fix-up" program, but one of ongoing, systematic process. The OE program's inherent flexibility towards client needs enables an OESO to either employ off-the-shelf programs or techniques, or to tailor programs for specific uses.

One important, and growing, OD technique (and technology) in the OE inventory is a standard paper-and-pencil instrument for Army-wide use called the General Organizational Questionnaire (GOQ). The GOQ is designed after the Institute of Social Research's Survey of Organizations and the Navy HRM Survey models and resembles these surveys closely. Considerable training in GOQ use and survey-guided development is being introduced at OETC. Computer processing capabilities and software for the GOQ is being developed for local-installation use where OE activities and data-processing capabalities are present. No extensive data bank of survey data similar to the Navy's is currently contemplated by the OE program. These developments

in OE technology are definitely in keeping with the Army's decentralized, user-oriented approach to OD. In addition to its tasks of training and overall effort evaluation, OETC has the task of disseminating new concepts and techniques to the OE field. Several methods to this end are employed by OETC and include refresher training of OETC graduates, and the publication of a journal, called the CE Communique.

The Air Force LMDC approach to OD can be classified as normative-re-educative, but with a strong propensity towards the rational-empirical. Two major activities constitute the LMD team's intervention inventory: (1) leadership and management seminars; and (2) diagnostic and prescriptive, broad-level management consultation services.

The LDMC Seminar Consultation process begins, in all cases, at the request of the client installation's Commander, at which time a team visit date and length is agreed upon. LMD team visits range from one to two weeks in length. Approximately two weeks prior to the team visit, an advance agent from LMDC visits the host installation to finalize plans for seminars and team services. One week prior to the visit, the team chief and advance agent brief the LMD team at LMDC regarding specific data and needs of the upcoming effort. At the beginning of the visit,the base Commander is briefed on the team visit and,along with key members of his staff, participates in the first of the seminars given during the visit.

Eighteen four-hour seminars are usually scheduled per week of the team's visit. Opportunity is provided for all base supervisors to attend one of the seminars, and special presentations are conducted for specific groups such as unit commanders and senior NCO's. Seminar content focusses on relevant management and leadership topics like motivation, communications, attitudes, values, and group

dynamics. Seminar processes include lecturettes augmented by visual aids, discussion, and question and answer sessions. Often, problem-related discussions take place following seminars, between consultants and participants. During this contact, participants may request consultant assistance in their units and valuable data is gathered.

Consultation activities take place in conjunction with the seminars. The consultative model and principal technique of the LMD team is a form of survey feedback in the form of descriptive and prescriptive information. A number of techniques are used by consultants in gathering information and include short surveys, interviews, and behavioral observations. Data is discussed, validated, and combined with suggested solutions in either verbal or written reports to appropriate levels of the host organization. LMD consultants limit their involvement to leadership issues, particularly those involving interpersonal and intergroup processes as they impact on mission effectiveness. No attempt is made by consultants to implement or facilitate suggested change activities. Time constraints and LMDC policy require the host unit assume full responsibility for change agent activities.

The final aspect of an LMD team visit involves the visit out-briefing to the host Commander and the post-briefing to LMDC by the team chief. Before this can take place, a continual dialogue and information sharing must have taken place between team members to insure that all issues were adequately raised and addressed. This process also facilitates future team effectiveness and professional conduct. The final briefings are made both in verbal and written form.

8. Institutional - Other - People (IV.B.2)

The Army OE program is built around its chief practitioner, the OESO. The OESO is defined as an individual staff officer qualified through training at OETC who performs an advisory and assistance function for a commander for improving OE through the systematic military application of OE and related advanced management and behavioral science skills and techniques. OESO's are presently assigned to large Army staffs world-wide, and over 300 have graduated from OETC as of January, 1978. Most OESO's are trained at OETC (there are a few OESC's in authorized billets who are non-OETC graduates) in a 16 week, para-professional course designed to instill a basic cognitive and experiential foundation in military-related OD skills and theory. The 16 week course curriculum includes organization theory, leadership and management develcpment, basic CESO skills, assessment/evaluatien methodlcgy, planning techniques, implementation strategies, a guided field experience, physical training, examinations, and a series of guest speakers or selcted topic presentations. Upon graduation, OESO's are awarded a special skill identifier ccde and are assigned to an OESO billet. Tour lengths are approximately 2 years. At the end of an CESO tour, the officer is reassigned to his/her basic career specialty, but subsequent OESO tours are possible.

Currently, the bulk of OETC-trained OESO's are commissioned officers in the grades of captain through lieutenant cclonel (O-3 - O-5), but a few NCO's and Army civilian employees have received training. The typical OESO selectee, in addition to the grade requirements listed above, holds a baccalaureate degree or higher (oftenin the behavioral cr management sciences), is a graduate of an Army officer's advanced course, has troop command experience, experience at the divisional/installation level (or below), promotion potential, and most often a volunteer for CESO duty.

The heart of the LMDC effort is the LMD team. Each team is composed of commissioned officers and senior NCO's and is headed up by an O-5 as team chief. Team members are carefully chosen for LMD team duty and have extensive formal education and operational experience in an Air Force career specialty, such as air operations, maintenance engineering, security police, personnel, education and training, and many others. Some officers have had command tours and all regular team members have had supervisry experience.

Supporting the LMD team activities are the staff personnel of LMDC. These personnel occupy resident teaching and research billets at LMDC and provide much of the content material for seminars and professional education of team members. Also, LMDC personnel form the principal pool of team augmentees when the need arises. Additional augmentees come in the form of specialists from other USAF commands like the Air Force Institute of Technology (AFIT), the Air University, or outside civilian consulting firms.

9. Institutional - USCG - Structure (I.B.3)

In November, 1976, the Leadership Training Development Staff formally "put on its second hat" as the faculty of the Coast Guard Leadership and Management School (CGLAMS) at RESTRACEN Yorktown, Virginia, when the first Senior Petty Officer Leadership and Management (SPOLAM) course was conducted. CGLAMS is now a firmly established, institutionalized program which operates out of two locations: RESTRACEN Yorktown, as indicated above; and at TRACEN Petaluma, California. Additionally, a CGLAMS program for drilling reservists is supported at TRACEN Alameda. Each campus of CGLAMS is organized as a resident branch school and is subordinate to the commanding officer of the training center (each a HQ unit - see Appendix B) upon which it is located. Each campus is structured to provide

resident training for 24 students per class in any one of three courses offered through CGLAMS : SPOLAM; JOLAM (Junior Officer Leadership and Management); and SOLAM (Senior Officer Leadership and Management). Each campus is staffed with a faculty of commissioned officers (O-5 tc CWO) and senior petty officers (E-6 to E-9). The TRACEN Alameda program for reserve leadership training, while not formally a campus of CGLAMS , is supported out cf the TRACEN Petaluma branch.

The CGLAMS program is formally sponsored by the CGHQ Office of Personnel. Actual program support is thrcugh the Office of Personnel's Training and Education Division. The Leadership Training Development staff, which is the "first hat" cf the Yorktown faculty, reports directly to the Training and Educaticn Divisicn. The resident school branches of CGLAMS , however, are attached as subcrdinate schools to their respective training centers and receive routine administrative and logistical support from them. The training centers, in turn are HQ units and report directly to the commandant, via the Training and Education division cf the Office of Personnel.

CGLAMS enjoys a Coast Guard-wide high reputation as an effective, impactful program of individual and professional development. The high credibility at even the lowest levels of the Ccast Guard (both regular and reserve) is reflected by the long list of applications for class quotas. These quotas are held by the Training and Education Division, which controls the attendance for the various classes. CGLAMS has enjoyed support and encouragement from the very highest levels of the Coast Guard management. Admiral Siler, the commandant under whom the CGIAMS project originated, perceived an organizaticnal need fcr a management development program, initiated a feasibility study of such a program, and took personal interest in the

attendent development efforts. The resulting program is institutionalized under formal directive and competes for supporting resources through the normal allocation processes of the service.

The role of CGLAMS in the Coast Guard is to provide support to the overall leadership programs of the service. In the broader, organizational scope, the Leadership Training Development Staff provides the service-wide theoretical concepts and doctrines for all areas of leadership development such as the Coast Guard Academy, OCS, resident petty officer technical schools (Class A schools), CGLAMS , and Coast Guard Institute correspondence courses. Since CGLAMS is structured as a resident course of instruction, its organizational change strategy contains elements of both a Rational-Empirical and a Normative-Re-educative nature. As a program whose change impact relies upon individual change, the CGLAMS's client is its classroom student. While concepts and tools taught at CGLAMS are public knowledge, command-specific data is generated in the course of classroom activities belong to the individual who contributed it and its confidentiality is respected. This norm has become a de-facto policy for all CGLAMS activities.

CGLAMS is not formally related to any other Coast Guard "people" programs with the exeption of the service's substance abuse program. CGLAMS's ties to substance abuse reside in the portion of its program devoted to supervisor alcohol abuse prevention training. Informal ties have been established between the pre-institutional OD programs of the Twelfth and Fourteenth Districts and the Petaluma CGLAMS branch to assure doctrinal uniformity.

As a resident course which enjoys high credibility and esteem in the Coast Guard, CGLAMS needs to engage in

little formal "selling" of its services. At present, only volunteers are assigned quotas to classroom availabilities. However, a policy of program image maintenance has been pursued, and potential students' applications are screened for receptiveness to course material. Senior officer support is rcutinely sought as well.

Information and techniques which are gained by Development Staff or classroom activities are routinely shared bcth within the CGLAMS system and externally. The control of this infcrmation transfer is held by the Development Staff in the form of curriculum review, approval, and documentation and in its program of senior petty officer instructor exchanges. These exchanges are conducted on a quarterly basis between CGIAMS branches. In addition, the JOLAM and SOLAM course are team-taught by the heads of both CGLAMS branches, and their collaboration encourages further intra-effort communication. CGLAMS doctrines and methodlogies further seek the permeatien cf effective leadership and management technique Coast Guard-wide. The rewards system of CGLAMS entails several aspects. Superior performance as a CGLAMS staff member has avilable to it the traditional military rewards of high job performance ratings, supervisory praise, and official commendation in the fcrm of awards and decorations. Peer approval and support is also present. For enlisted instructors in the grade of E-7 and above, the familiarity gained in areas cf leadership and management offer marked competitive advantages in examinations for promotien to higher enlisted or warrant officer grades. Finally, the challenge and personal growth available to CGLAMS members in the course of training and instruction activities provide a powerful support to continued high performance. Negative sanctions include traditional means such as pcor performance ratings, transfer out cf the program, peer disapproval, and in the extreme, recourse to formal disciplinary proceedings.

Growth of CGLAMS has been rapid, but lagging the demand for its services . From an initial SPOLAM course, additional ccurses have been developed tc meet client needs. Expansion of the CGLAMS program to meet the needs of inactive-duty reservists has been experienced, along with an increase in resources to meet these additional training requirements.

Another issue related to growth and demand of CGLAMS services revolves around limitations of its individual approach to organizational change This issue has two factors: (1) the impact of only being able to effect system change through a limited number of clients, i.e., those permitted to occupy a classroom seat; and (2) the economic cost of maintaining a resident program. As discussed in Chapter II.B.2 of this thesis, the problems of using an individual focus as the mediator of group change can be formidable when resources are finite. One solution to this dilemma has been attempted by CGIAMS in a trial effort at providing training in an in-vivo, working environment of a Coast Guard unit. This project, termed the Pilot Project for On-Site Training (PPOST), was conducted at the request of a major Ccast Guard shore command, TRACEN Alameda. In late 1977, the TRACEN Alameda top leadership developed a goal of organizational improvement and chcse issue-identification and lcwer-level supervisor training, amcng others as objectives towards that end. The leadership program was seen as a possible alternative tc achieve these objectives and CGLAMS was requested to assist as a primary resource. An agreement was made between CGLAMS and TRACEN Alameda for a special, on-site SPOLAM course to be conducted aboard the ccmmand through its Reserve Training Division, which also supports the CGLAMS -spcnsored reserve leadership training program.

The PPOST program represented a major change in the methodology of CGLAMS to achieve its mission-role: (1) the SPOLAM course was to be presented in a slightly-abbreviated, at-home environment; (2) all of the command's first class and chief petty officer were required to attend - the program was mandatory; and (3) the analysis techniques taught in classes would deal with at-home data and issues vice hypothetical case studies normally utilized in resident-type training. This last point served to disitinguish PPOST as more of an OD effort than the resident portion of the CGLAMS effort. Not only was training to be performed, but organizational data was to be gathered, analyzed, and fed back. The CGLAMS instructors involved in the PPOST had roles of both trainer and consultant. Issues facing OD consultants like data confidentiality, ownership, and transmission became relevant as did the issue of who exactly the client was. Aside from these new considerations, the PPOST was carried out according to standard CGLAMS methodologies as described in sections II - IV.B.3 of this chapter.

10. Institutional - USCG - Task (II.B.3)

The CGLAMS resident program views itself as primarily in an instructional role in which personnel from the various leadership levels of the regular and reserve components of the Coast Guard (senior petty officers, junior commissioned officers, and senior commissioned officers) are assisted in the development of their ability to select and apply appropriate leadership practices and sound management principles. This role is carried out by providing a resident environment and utilizing a behavioral science approach in which leaders/students add to their level of leadership knowledge and related fields, evaluate this knowledge in light of personal experience, add some new "tools" to their leadership "bag", and add some new "test

equipment" to ascertain how they are currently working. This training role is to be performed within the context of both the Coast Guard as a military organization and the social, political, and economic milieu of the present day world.

The immediate outcome objective of CGLAMS is to graduate a student who has had a cognitive exposure to and practice in six major leadership disciplines:

1. Group Dynamics

2. Motivational Theory

3. Interpersonal Relationships

4. Organizational Communications

5. Situational Leadership

6. Work Planning

The CGLAMS courses are presented in an experiential environment which seeks to impart a unified body of concepts, styles, tools, and language through which the overall chain of command will be strengthened, the communication process improved, and a better leadership climate will result in the graduate's parent command. This, it is hypothesized, will reult in increased command efficiency throughout the Coast Guard.

LT Gary Heil, the coordinator for the PPOST, described the purpose and outcomes of PPOST as:

".... an effort in which people are trained in an LMT (sic) environment, increases the communications

within the senior petty officer's (SPO's) level of the command, help the SPO's through the material, help the SPO's foster a team-building atmosphere, provide feedback to the command (TRACEN Alameda), help the command map out a change strategy, to help implement intervening variables, to help reduce the restraining forces, to help the command maintain these efforts as an ongoing process, and to reduce consultant involvement."

Assessment of CGLAMS resident-training efforts has been, to date, limited to "soft" measures such as instructor self and peer evaluation (using video tape recording equipment), student feedback, and anecdotal reports and feedback from students' commands. PPOST attempted a more thorough approach to effort assessment through its data-gathering activities. These activities were employed in a pre-and-post observation experimental design (but without a control group). Specific assessment activities included: "soft" measures such as force-field analysis and feedback; and "hard" measures such as the use of several survey instruments. The primary process by which issues are identified and dealt with is through classroom force-field analysis of data and, in the case of PPOST, feedback of data released by class members to the command. The force-field analysis process is a collaborative effort between clients and practitioners, with practitioners acting as catalytic or facilitative agents.

11. Institutional - USCG - Technology (III.B.3)

Since CGLAMS is primarily a skills training program, experiential techniques from behavioral science are utilized to the maximum extent possible. Further, since three major levels of organizational leadership (SPO, junior officer,

senior officer) are trained at CGLAMS, three separate courses have been developed which utilize similar material but address somewhat different needs.

SPOLAM, the course designed for senior petty officers, is a 3 week program intended to provide the service's first-line supervisors with basic tools and theories of leadership. JOLAM, the junior officer curriculum, is designed to present material similar to SPOLAM, but in a 2 week time-frame, and emphasizes collaborative, joint leadership with one's immediate first-line supervisor/subordinates as its focus. SOLAM, a 4 day seminar program, is designed to provide commanding officers with an overview of SPOLAM and JOLAM material and to assist in generating top-level support for the practice of leadership concepts learned by subordinates at CGLAMS.

Classroom techniques for CGIAMS include participative teaching methodologies such as lecturettes, lecture discussion, transactional analysis, team teaching, role playing, and structured exercises utilizing Coast Guard-specific case material. In keeping with current theory an adult education, high recognition is given the experience brought by individual students to the classroom, and every attempt is made to keep lecture to an absolute minimum while participatively encouraging the use of that experience as a learning resource. Further, the physical layout of each CGLAMS classroom is designed to enhance the teaching methodology with comfortable settings and adequate technical facilities (i.e., audio-visual and video equipment).

A number of managerial theories are subscribed to in the CGLAMS curriculum material. The most significant theoretical commitment is to Hersey and Blanchard's Situational Leadership Theory (Hersey and Blanchard, 1977)

which is a sophisticated version of grid theory. Considerable time and activity is committed to imparting situational leadership concepts, including the use of the Hersey and Blanchard LEAD (Leadership Effectiveness and Adaptability Description) questionnaire series. A wide range of behavioral and managerial theory and techniques are employed in the classroom curriculum. These theories include: Likert's model of organizational variables; the motivational theories of Maslow, Herzberg, and McGregor; Transactional analysis in interpersonal relationships, a six-step communications theory model; and use of the critical path method in work planning.

The focus of CGLAMS efforts is upon development of individual skills and competencies, with the expectation that improvement at that level will ultimately be of positive impact on the Coast Guard. However, heavy emphasis is placed upon the use of student group dynamics to enhance the learning effectiveness of the course activities. Non-reactive measures of course effectiveness are relied upon, which includes student feedback and reports from students' commands. Most of the models, techniques, and instruments used by CGLAMS have been been modified to a greater or lesser extent in an attempt to relate all materials to a Coast Guard context.

The PPOST effort borrowed heavily from the technology employed at CGLAMS. Some modifications and additions to CGLAMS methodology were made in response to the consultative aspects of the PPOST effort. Specifically, a model of consultancy was designed and implemented during the course of the CGLAMS involvement at TRACEN Alameda. The PPOST model began with a cognitive input in the form of an abbreviated, 2 week, on-site SPOLAM course for all TRACEN Alameda first class and chief petty officers. The training phase was followed by a data gathering phase during which

the training participants used such techniques as a modified Navy HRM survey (called the "SPOLAM Research Questionnaire"), the LEAD instrument, discussion, and problem rank-ordering procedures. The data gathered was analyzed in the subsequent phase utilizing force field analyses and was fed back to the command. The top management of TRACEN Alameda received the data, explored various alternatives, and with consultant assistance, utilized a force field analysis methodology to map out various change strategies.

The foregoing clearly illustrates an important distinction between the CGLAMS resident programs and PPCST: the latter effort began with an initial focus upon individual development and shifted its focus to one of group (peer and unit level) development. Assessment efforts were also designed to obtain both pre-and-post measures of both the "hard" and "soft" varieties.

12. Institutional - USCG - People (IV.B.3)

The people subsystem of CGLAMS is split between the two campuses which serve each geographic half of the Coast Guard. The "home office" of CGLAMS is the branch located at RESTRACEN Yorktown, Virginia. This branch has 9 people attached to the school as instructors, who, in addition, are double hatted as the Leadership Training Development Staff. There are three officer billets, one O-5, one O-3, and one CWO; and 6 senior enlisted billets, ranging from E-6 to E-9, allocated to Yorktown. Petaluma has one officer billet (O-3) and 5 senior enlisted billets (E-6 through E-8) attached. Additionally the reserve leadership training CGLAMS program has one O-3 attached, with enlisted instructors from TRACEN Petaluma assisting in the classroom on a temporary basis.

Personnel assigned to CGLAMS are selected from a wide variety of occupational backgrounds (aviation, seagoing, and shore operations) but have somewhat similar personal and educational backgrounds. All recent CGLAMS instructors are graduates of the program. Many have had previous experience at training commands, including instructor duty. Individually, they tend to be high performers, have good communications skills,an analytical mental orientation, and an ability to project personal power. The main strength and competence of CGLAMS personnel lies in their abilities as trainers. Although personnel are assigned to CGLAMS through the normal service assignment process, potential instructors are identified from the pool of CGLAMS graduates by the faculty and are recommended to CGHQ for possible detail.

Aside from training received through CGLAMS and perhaps special instructor training, there is no formal training program for CGLAMS personnel. An attempt is underway to screen potential instructors for advanced education in management, behavioral science, or OD, but this has not yet become a prerequisite for selection. Some officer personnel attached to CGLAMS have been enrolled in off-duty education programs leading to advanced degrees in human behavior and leadership.

Due to the newness of the CGLAMS program and the relatively few instructors attrited through promotion, retirement, or rotation, it is too early to project what kind of a typical career pattern may emerge for them. It is anticipated, however, that the majority of personnel successfully completing a tour of duty at CGLAMS will rotate back to their respective occupational specialties.

V. CONCLUSIONS AND RECOMMENDATIONS

A. CONCLUSIONS

From the foregoing analysis, support is given this study's thesis that the Coast Guard, like the Defense services, is attempting to develop constructive adaptations to social pressures for organizational change. The various OD efforts of the Coast Guard have been of a systemic nature and have employed a variety of change approaches and technologies. It seems reasonable to conclude that, with the exception of the resident portion of CGLAMS, Coast Guard OD efforts to date may be characterized as pre-institutional and yet to be fully absorbed into the organizational fabric of the service. However, there appears to be considerable local support by regional managers (district commanders and commanding officers of HQ units) where the pre-institutional efforts have taken place.

Certain salient program features and issues may be contrasted between the Coast Guard, Navy, and other service OD programs, taking into account the developmental and organizational differences involved.

Each of the services' OD efforts are directed towards, in the words of Air Force General David C. Jones, "making a good service better". Each OD program's overall goal is directed towards improving organizational effectiveness through an improved use of the chain of command. However, specific objectives and tasks vary from service to service. Perhaps the most specific outcome goal of any of the OD

efforts is the CAP required by the Navy HRM Program. This diversity of specific objectives probably accounts for the differing approaches each service OD effort has taken in response to the issues of standardization and centralization.

The Navy's centralized approach to OD has not been copied by the Coast Guard. This is probably caused, in part, by the pre-institutional nature of Coast Guard OD to date; in part by the lack of central coordination; and the different needs and orientations of Coast Guard clients and practitioners. A similar case may be presented regarding the nature of standardization within each service's programs.

The Navy HRM System has been heavily committed to a survey-guided development approach to OD, the technology of which if not the actual approach is being copied by all of the other service efforts. "Hard" data-based techniques can offer certain advantages to practitioners trying to enter quantitively-oriented clients or assess and justify OD efforts to hard-nosed resource allocators. The Coast Guard has experimented with a variety of survey instruments, but, with the exception of one effort, has not committed itself to survey-guided development.

Both the Navy and Coast Guard pre-institutional efforts have relied upon in-house personnel assets as program developers and have kept external consultant involvement to a mimimum. The Coast Guard and the Navy efforts have relied upon enlisted practitioners to an extent heretofore unknown in the Army's program. This use of enlisted practitioners has had positive results in terms of credibility at the client level with minimal resistance from higher levels of each services' management. One negative implication and consequence in using internal personnel assets from

operational sources revolves around retention of expertise in the OD efforts. By placing the OD efforts under normal service personnel rotation policies, key personnel develcped during relatively short tours of duty as consultants/practitioners are lost to the effort.

Last, but probably the most crucial element in the pre-institutional develcpment and eventual institutionalization of OD efforts is the personal interest and support by the senior executive of each Armed Force. In all cases, the senior uniformed official provided the catalytic energy for the eventual institutionalization of each service effort. This, in turn, leads to the involvement of subordinate managers in support for and assumption of responsibility for OD program outcomes. All major OD theorists stress the primacy of support for and management of change efforts by top management to insure success.

B. RECOMMENDATIONS

The recommendations made in this section are based in part on the conduct of this research and in part on the opinions of the investigator. They will take the form of needs for action or potential avenues of research. The recommendations will be related to the organizational model variables of structure, task, technology, and people, as has been employed throughout this study.

1. Structure Related

1. Before any futher OD efforts be attempted or a central policy-making structure considered an indepth study group from the Offices of Civil Rights, Personnel, and

the Chief of Staff should assess current capabilities, needs, and, most importantly, top management support for a Coast Guard-wide OD system. A presentation of findings to the Commandant should be made and his sincere, personal interest and support should be present before any developmental efforts take place.

2. Some central authority structure should be established at the HQ level to coordinate OD/CGLAMS development and activities. Since the Office of Personnel controls CGLAMS activities and resources, the only institutionalized Coast Guard OD effort, it is recommended that OD program support and policy-making authority be vested in them. However, since much of the field resources involved, or potentially involved in OD, belong to the Office of Civil Rights, their formal, directive-authorized input to Coast Guard OD efforts should be recognized.

3. It is further recommended that a formal matrix structure involving both the Offices of Personnel and Civil Rights in the management of the district HRM resources (the HRC/F's, DES's, CRO's, and EEO specialists) be issued. The Office of Personnel should have cognizance over HRM activities of a non civil rights or EO nature. The mandate and necessity of the Office of Civil Rights' role as the equal opportunity watchdog agency should not be tampered with.

4. The matrix structure of the Fourteenth District's PACO office should be made standard on all district staffs. The structure does not derogate from any program at the expense of another and allows overlapping program aspects to coordinate for a reduction in redundancy. The PACO structure also allows for an increased synergy among "people" programs at the user level and creates more "bang for the back."

5. Any proposed consulting model for an OD HRM system in the Coast Guard should follow a decentralized approach similar to the Army OE program. Consultant resources should be protected by carefully-worded policies, but belong to local regional Commanders as HRM assistants. Program responsibility for HRM should remain in the chain of command and action the prerogative of each local Commanding Officer. Successful OD efforts seem more prevalent when consultants' roles are as staff assistants and when program ownership belongs to the Commanders.

2. Task-Related

1. The Coast Guard needs to define what it means and needs by way of OD programs. Specific goals and objectives need to be clarified.

2. A Coast Guard-wide OD effort assessment plan should be concurrently developed along with any proposed system-wide OD program. The Army's OE evaluation program could serve as an effective assessment model.

3. Technology-Related

1. The Navy HRM survey should be adopted, with superficial modifications, for Coast Guard use. This recommendation should not be construed to mean the Coast Guard should commit itself to survey-guided development, but that the HRM Survey is a valuable, state-of-the-art tool which can be put to effective use in an OD effort. One alternative for this recommendation entails making an interservice support agreement between the Navy and the Coast Guard to use the instrument and a suitably modified version of the

computer support package used by the Navy. Local district office data processing resources could be utilized to maintain decentralization of consulting activities.

2. A Coast Guard data bank should be built if the decision is made to employ a standard, system-wide instrument such as the HRM survey. This data could be maintained by the Naval Personnel Research and Development Lab under an interservice agreement and become the basis for "hard" assessment measures of OD effort impact.

4. People-Related

1. Personnel assets devoted to all phases of Coast Guard OD programs are insufficient to meet client demands and should be increased.

2. HRC/F resources are especially overextended and need increased inputs. However, the Navy model of employing middle-grade commissioned officers and senior petty officers should supplant the present policy of assigning newly-commissioned officers or petty officers singly to HRC/F billets.

3. Training of OD consultants is crucial, and, at present in the Coast Guard, neglected. CGLAMS and DRRI are the only sources of professional training and competence available to Coast Guard practitioners. Alternative sources of training at the Navy HRM School at NATC Memphis or the Army's OETC at Fort Ord should be considered, especially if concepts and techniques from the other services are to be incorporated into a Coast Guard OD system.

4. Finally, if middle-grade officers are to be committed

to HRC/F billets, they should be volunteers, O-2 to O-3, have recent operational experience, and preferably have staff experience at the HQ, district, or HQ unit levels. One source of particularly well-qualified individuals would be graduates of the HRM master's program at the Naval Postgraduate School.

COAST GUARD OD EFFORT
SURVEY INTERVIEW

STRUCTURE QUESTIONS

1. How is the effort organized?
2. How is it placed in the service structure? (Who owns it?)
3. What is it's relationship to other "people programs"?
4. Where are the efforts geographically located?
5. How does the effort transmit information both internal and external to itself?
6. How has and does the effort handle growth?
7. What is the reward and punishment sub-system?
8. What sorts of authority and top management support do the efforts need and enjoy?
9. Is the program passive or active?
10. Who owns and utilizes any data generated?
11. Who are the clients?

TASK QUESTIONS

1. How do efforts define OD/themselves?

2. What are effort outcomes?

3. How do efforts assess themselves or get assessed?

4. How are significant issues which arise from effort activities identified and dealt with?

5. What are the decision-making processes?

TECHNOLOGY QUESTIONS

1. What techniques are used?

2. What commitments to theory/approach have been made?

3. What is the focus of the effort?

4. How are technological developments transmitted through effort?

5. What kind of consultancy model is used? Envisioned?

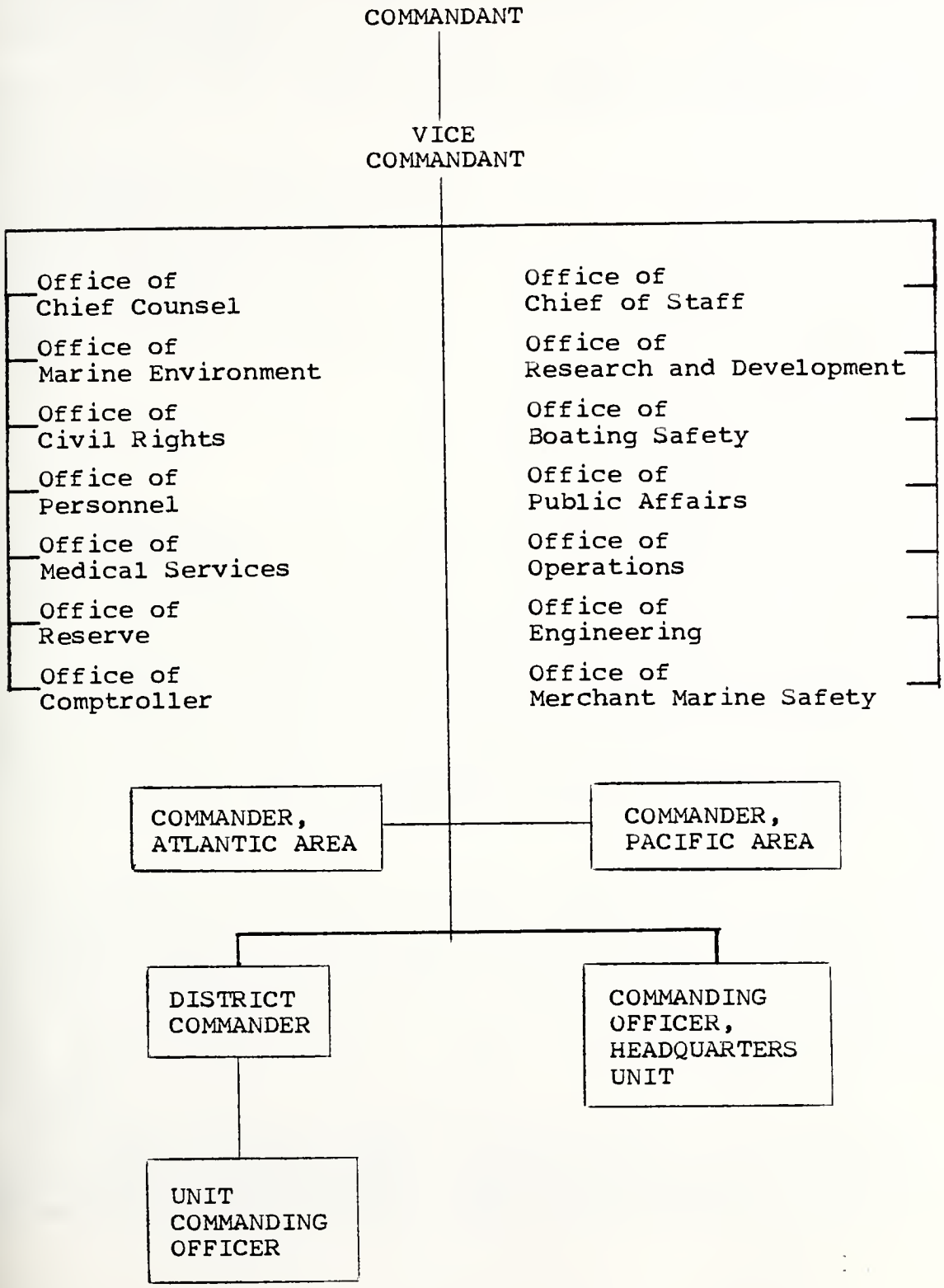
6. What techniques are bought or built?

7. What assessment approaches, i.e., "soft" or "hard", are used?

PEOPLE QUESTIONS

1. What people are now in the system?
2. What people are needed in the system?
3. What kind of background is desirable?
4. What kind of training is needed?
5. What are selection criteria for practitioners?
6. What kind of career patterns are operative for practitioners?
7. What kinds of competence exist in service systems?

ORGANIZATION OF THE COAST GUARD



VBKVBWVBQVBBVBJVBDVAKVRSVASVBWVBAVUUV
NET DE CF
PASS TO UNITS WHOM YOU ARE RESPONSIBLE IAW CCGD 12OPLAN
ANNEX PAPA

RF T RESOLUTE
BX T COMANCHE
BE T BLACKHAW/LORSTA PT ARENA/PT BARROW/PT CHICO/PT HEYER/
PT LEDGE/PT WINSLOW

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TO ALL COGARDTWELVE
ZEN/COGARD LTSTA PT ARENA CA
ZEN/USCGC BURTON ISLAND
R ØØØ115Z APR 78
FM COMDT COGARD WASHINGTON DC
TO ALDIST
CG GRNC
BT
UNCLAS
ALDIST 097/78
COMDT NOTE 15ØØ
FROM G-H
DEPT OF DEFENSE RACE RELATIONS INSTITUTE (DRRI) FOR
MILITARY PERSONNEL
A. COMDT INST 535Ø.11 SERIES
1. THIS NOTICE SOLICITS APPLICATIONS FROM PERSONNEL WHO
DESIRE TO SERVE AS HUMAN RELATIONS COUNSELORS/FACILITATORS
(HRCF'S) ON A COLLATERAL DUTY BASIS.
2. THE CG SEEKS TO ENHANCE HUMAN RELATIONS IN THE SERVICE
THROUGH TRNG, EDUCATION AND COUNSELING PROGRAMS WHICH
GENERATE AWARENESS AND MUTUAL UNDERSTANDING. IN ORDER TO
IMPLEMENT THESE PROGRAMS, AND ACHIEVE THE OBJECTIVES OF
THE CG'S MILITARY CIVIL RIGHTS/HUMAN RELATIONS PROGRAM AS
SET FORTH IN REF (A), OFFICER (O-2) AND (O-3) AND/OR

PAGE 2 RUEBJGA637Ø UNCLAS.
ENL (E-6 THROUGH E-9) HRCF BILLETS HAVE BEEN AUTH AND ASGN
TO DISTRICTS, SELECTED TRACENS AND CERTAIN HQ UNITS.
3. OFTEN TIMES IT IS DIFFICULT FOR THE HRCF'S TO HANDLE
ALL OF THE PROBLEMS THAT ARISE IN THEIR AREA OF RESPONSI-
BILITY, AND CONDUCT THE DESIRED TRNG AS DIRECTED BY COMDT
(G-H).
4. IN RECOGNITION OF THIS, A POOL OF DRRI TRAINED PERSONNEL
IS DESIRED TO ASSIST THE ASSIGNED HRCF ON A COLLATERAL
DUTY BASIS.
5. APPLICANTS WHO ARE SELECTED TO RECEIVE SUBJECT TRNG
WILL BE ASSIGNED TO THE DRRI, PATRICK AFB, FL FOR APPROXI-
MATELY SIXTEEN WKS DURATION. UPON COMPLETION OF TRNG,
APPLICANTS WILL BE RETURNED TO THEIR PRESENT DUTY STATION.

6. CO'S ARE REMINDED THAT NO REPLACEMENTS WILL BE ORDERED IN FOR THOSE PERSONNEL SELECTED TO RECEIVE SUBJ TRNG. PERSONNEL SELECTED WILL BE OUT-OF-HIDE FROM EACH UNIT.
7. FUNDING FOR SUBJ TRNG WILL BE COVERED BY HQ'S.
8. TO QUALIFY FOR SUBJ TRNG ENLISTED APPLICANTS SHOULD:
A. BE E-6 OR ABOVE.
B. HAVE DEMONSTRATED INTEREST IN TEACHING OTHERS.
C. BE ABLE TO SPEAK CLEARLY.
D. HAVE A CLEAR RECORD. (A CLEAR RECORD IN INTERPRETED AS A RECORD

PAGE 3 RUEBJGA637Ø UNCLAS
WHICH DOES NOT CONTAIN OFFICIAL ENTRIES INDICATING CONVICTION BY A COURT-MARTIAL DURING AN INDIVIDUAL'S LAST 5 YEARS OF SERVICE OR NJP DURING AN INDIVIDUAL'S LAST 2 YEARS OF SERVICE.)
E. HAVE ABILITY TO WORK HARMONIOUSLY WITH OTHERS.
F. BE MILITARY IN BEARING, SMART IN APPEARANCE.
G. POSSESS SOUND JUDGEMENT.
H. HAVE NO MARK BELOW 3.4 FOR PROFICIENCY AND LEADERSHIP FOR THE PAST 2 YEARS.
I. HAVE A HISTORY OF FINANCIAL RESPONSIBILITY.
J. HAVE AT LEAST 2 YEARS SERVICE REMAINING ON CURRENT ENLISTMENT OR BE WILLING TO EXTEND/REENLIST TO MEET THIS REQUIREMENT.
K. BE WILLING TO ATTEND DRRI, PATRICK AFB.
9. OFFICER PERSONNEL (Ø-2 OR ABOVE) SHALL SUBMIT REQUEST IN LTR FORM VIA THE CHAIN OF COMMAND TO COMDT (G-H), WITH A COPY TO COMDT (G-PO). OFFICERS IN GRADE OF (Ø-1) WILL NOT BE CONSIDERED.
1Ø. OFFICER PERSONNEL MUST HAVE TWO (Ø2) YEARS OF OBLIGATED SERVICE REMAINING OR AGREE TO EXTEND TO MEET THIS REQUIREMENT.
11. EL PERSONNEL SHALL SUBMIT APPLICATIONS VIA THE CHAIN OF COMMAND TO COMDT (G-H) ON FORM CG-4526 (WITH COPY TO G-PE). CO'S ENDORSEMENT SHOULD COMMENT ON MEMBER'S QUALIFICATIONS AS OUTLINED IN PARA 8 OF

PAGE 4 RUEBJGA637O UNCLAS
THIS ALDIST.
12. 1978 APPLICATIONS FOR CL CVN 1 JUN AND 1 NOV ARE DUE 1Ø MAY AND 1Ø OCT RESPECTIVELY.
13. PERSONNEL SUCCESSFULLY COMPLETING THIS COURSE WILL RECEIVE 18 SEMESTER CREDIT HOURS FOR UNDERGRADUATE WORK OR 9 SEMESTER CREDIT HOURS FOR GRADUATE WORK.
BT
#637Ø

NNNN

DEPARTMENT OF TRANSPORTATION
UNITED STATES COAST GUARD

MAILING ADDRESS:
Commander (dh)
12th Coast Guard District
630 Sansome Street
San Francisco, CA 94126

5350
29 December 1976

From: Commander, Twelfth Coast Guard District
To: Commandant (G-CCS)

Subj: Human Resources Management

1. For the past two years my Civil Rights Staff has been visiting each unit quarterly to monitor the human/race relations program and obtain feedback from commanding officers. The most consistently heard request was to broaden the program, to address organizational problems being encountered in such areas as leadership, management, decision making, motivation, morale, discipline, teamwork and communications.

2. In response to this perceived need of commanding officers, the Civil Rights Staff investigated the human relations programs of the other Uniformed Services, and a number of large public and private institutions. It was soon discovered, however, that the management philosophy of "human relations" (which focuses on individual satisfaction) has been replaced by the more pragmatic "human resources management" concept (which focuses on organizational effectiveness). The Navy's Human Resource Management Program is briefly and partially described in Enclosure (1), an excerpt from the "Commanders Notebook" given to Navy commanding officers prior to initiation of the HRM Cycle.

3. It was decided to proceed with an evaluation of the Navy program on a small number of volunteer units. When this program was explained to the commanding officers of this district, all were quite enthusiastic and requested to have an HRM cycle implemented on their units. Because this request in several cases was contingent upon the guarantee that the HRM Specialists be Coast Guard personnel, a temporary HRM team was established by the Civil Rights Staff. Arrangements were made with the Navy to utilize their computerized HRM survey capability (at negligible cost to the Coast Guard) to gather the necessary data. The HRM cycle was designed to be directed by each unit's commanding officer from the data gathering phase to the action phase. Special emphasis was placed on increasing the viability and effectiveness of the chain-of-command as the vehicle by which objectives are met and problems are solved.

4. The HRM survey has been given to two units, and a third will follow shortly. Based on our experience to date, it is apparent that certain conditions must be met if the evaluation is to be thorough and comprehensive.

a. The evaluation period must be of sufficient length. Conducting the survey and providing follow-up assistance at a representative number of units is not enough. Units should be resurveyed at a later date to determine if the initial HRM cycle was beneficial or not. An evaluation period of approximately one year appears to be optimum.

Subj: Human Resources Management

b. Coast Guard personnel with the required expertise should conduct the evaluation. The Navy HRM people have been very cooperative and willing to do the entire job. They are, however, biased toward the HRM program and I would not expect an impartial evaluation from them. I am fortunate in having, on my staff, several people with the necessary talent and motivation to do the job.

c. The pilot HRM team should consist of a minimum of two full-time members. The Navy employs a four-man team, typically an O-4/5, O-2/3, E-7/8/9 and an E-5/6. Our present team consists of an O-2 and an E-4 from the Civil Rights Staff, supplemented by other staff members and Navy HRM personnel as needed. This arrangement would be suitable if another officer billet were added, temporarily, to the Civil Rights Staff to handle the standard program workload.

5. I believe that this type of program may be of considerable benefit to the Coast Guard. It may be a logical follow-on to the present phase of the human/race relations program which will be accomplished by early 1978. HRM and Leadership School, together, would contribute to improved organizational effectiveness, one focusing on the unit itself, the other on the individual. If you concur that an evaluation of HRM under the conditions outlined above is worthwhile, my staff will contact the appropriate program managers to make the necessary personnel arrangements and iron out the details.

A. C. WAGNER

Encl: (1) "Commanders Notebook" excerpt

Copy to:
COMDT (G-H)(G-P)

DEPARTMENT OF TRANSPORTATION
UNITED STATES COAST GUARD

Address reply to:
COMMANDER (dh)
Twelfth Coast Guard District
630 Sansome St.
San Francisco, Calif. 94126

5350
24 February 1977

From: Commander, Twelfth Coast Guard District
To: Distribution

Subj: Military Civil Rights/Human Relations Conference Comments

Ref: (a) Commandant (G-H) ltr 5350 of 25 January 1977

1. Enclosed are my comments per reference (a).

2. It is recommended that enclosure (1) be read first to give greater understanding to the comments in enclosure (2).

L. T. DANKIEWICZ
By direction

Encl: (1) "HRM: An Application to Command" by RADM BAGLEY, USN
(2) Packet of Comments
(3) CCGD12NOTE 5350

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CCGDONE
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CG OCEANOGRAPHIC UNIT, WASH., D.C.
CG SUPPLY CENTER BROOKLYN
CG EEE CENTER, WILDWOOD, N.J.

Human Resources Management: An Application to Command

By RADM David H. BAGLEY, USN

Why the sudden interest in management? It seems that hardly a day goes by that there isn't at least one official reference to the need to improve management within the Navy. I am sure that many must be concerned about this situation and may be wondering if they are expected to be managers rather than naval officers.

As the Assistant Chief of Naval Personnel for Personal Affairs, I have become increasingly involved in this issue from two very different perspectives. On the one hand, I am vitally concerned with the individual's view of the Navy, and how he is affected by the organization. It makes little difference whether we refer to this relationship in terms of basic leadership or human resources management; the objective of best utilizing the potential of each man to accomplish our mission is the same. As a professional naval officer, I am also vitally concerned with the viability of the Navy as an effective organization in the future. I am, therefore, convinced that we cannot afford to diminish professionalism in any way.

In working with this dilemma, I have concluded that the challenge of professionalism is growing rapidly and will continue to do so in the future. In order to keep pace, those in the profession must be ready to utilize knowledge gained from every possible source. One such source of highly useful knowledge is the field of management.

I recently received an invitation to speak to a group concerning the relationship of human resource management to command. This gave me the opportunity to develop this relationship more fully, and to put some of my ideas into a realistic context. In doing this, my objectives were first to distill some of the knowledge that has been gained in the field of management and second, to develop a framework that related these findings to command.

An effective way to gain better understanding of human resources management is to trace its development. The particular phrase "human resources management" is simply the latest, most popular name given to a movement which has been taking place in management for about the past twenty years. The focus of this movement has been a systematic study of the human relationships which occur within organizations. The application of the findings of these efforts has been through development of management theory and practices which seek to utilize human potential effectively.

These efforts began in the late 1920's when a team of social scientists from Harvard discovered that the most powerful influence on the performance of workers was their relationship with their fellow workers. It became apparent that these relationships were often strong enough to completely frustrate management's attempts to increase performance either through threat or through incentive plans. These scientists opened doors to the fact that man is capable of performance far above that which he usually displays. The challenge, then, was to find out how organizations could tap this latent resource. All of the

answers to this question are still not fully known, although much knowledge has been gained--often through costly trial and error.

One important outcome of these efforts was the development of a more complete understanding of man in his organizational roles. The assumptions of an economic man, who is motivated by monetary reward, and of a machine man, who with proper design was capable of ever increasing efficiency, were discarded. In their place grew the recognition that man has a wide variety of personal and social needs. Motivation was seen as being far more than simple reward and punishment. Interpersonal relationships and personal growth were recognized as being highly important. The impact of leadership and supervisory styles, therefore, was given great attention. Findings indicated that no single style or set of characteristics seemed to predict effective performance in all situations. Rather, effective leaders seemed to be able to operate in several styles and choose the one most appropriate to the particular situation. It did seem, however, that the vast majority of effective leaders shared a common skill: they all communicated effectively with other people. Not only did they have the ability to express themselves clearly; more importantly, they listened to the other person. No single skill seemed to be as vital to successful leaders as the ability to establish and maintain open communications with subordinates. The accumulation of this new knowledge caused many to question basic assumptions about human behavior, and to re-examine organizational policies and procedures which were based on those assumptions.

As research findings were compiled and new approaches adopted, those who were working in this field, which by now had become known as Human Relations, became increasingly aware of the complexity of the task they had undertaken. Many of the initial findings were seen to be interrelated and subject to a variety of organizational influences. This tended to explain some of the failures which have been encountered in trying to introduce and utilize the new knowledge. In many cases achieving good human relations had become an end in itself, an end which was sometimes achieved at the cost of organizational survival. Findings indicated that happy people were not necessarily productive people. Attempts to incorporate "human relations" were often piecemeal and not fully adopted throughout the organization. Thus, "human relations" often became identified with training programs designed to provide managers and supervisors with new "techniques" which would train them to make people "feel" important. Predictably, such programs were often viewed with skepticism and were seen as attempts by managers and supervisors to become more efficient in manipulating others. As you may imagine the behavioral scientists were often viewed with hostility, and the "human relations" approach was seen by many as a road to disaster.

In recent years, attention has focused on the processes which are undertaken in attempting to introduce the findings of the behavioral scientist in ways that encourage their acceptance and adoption. The apparent failure of the "human relations" approach brought about a recognition of the difficulties inherent in the introduction of new ideas and practices into any existing organization. These difficulties are compounded when the organization is very large and has many years of tradition. Emphasis in the past decade has focused on this particular problem. There have been successes and failures. However, there are strong indications that planned programs of change can be carried out successfully if the lessons of the past are taken into account.

It is dangerous to make generalizations when examining such a complex subject; however, one such generalization seems particularly significant. The research and findings to date indicate that people seem to perform more effectively in organizations which recognize their individual worth and support and reinforce such a self-concept in a day-to-day basis. It seems that the most productive and viable organizations are those which recognize this, and make conscious efforts to incorporate the recognition of personal dignity into their basic fabric. In such organizations the achievement of this goal has become a specific objective. This does not simply mean adoption of a policy which states that "people are our most important product." What seems to be required is a continuing effort to communicate this philosophy in meaningful ways. Policies and instructions must be balanced against this objective. Leadership and supervisory styles and day-to-day interactions must reflect this basic belief.

In summary, then, human resources management is simply a name given that field of management which is primarily concerned with the systematic development of theory and practices which will best utilize the talents and potential that exist within the people in organizations.

It appears that this is what we are currently attempting to do in the Navy. This then brings me to my second objective, that of relating this knowledge to command.

This is a difficult task in that each subject is very broad and a method of relating each area to the other is not readily apparent. I have assumed the position that this relationship can be developed around the concept of control. My thesis is that increased understanding of human relationships and modern management practices offers commanding officers and others who are decision makers in the management structure enhanced control of the complex process of command. The full meaning of this statement may not be immediately obvious, but it should become increasingly clear as the problem is further explored. One must keep in mind that control in this context is not control in the classical management sense, nor is it a way of obtaining tighter control of people's behavior. Control as I use it is a somewhat broader concept. This becomes more evident when the concept is explored from a systems point of view.

Figure 1 is a simple schematic representation of the general cybernetic or control system. In such a system, certain inputs enter, undergo a series of actions called the process, and emerge as outputs. In this condition control is missing, and the output may or may not be what is desired. Control is achieved through establishment of goals or standards and the development of feedback. Without either of these elements the system cannot be in control.

It will be helpful at this point to take a closer look at the feedback loop. This function is comprised of several distinct elements. First, it is necessary to sense and measure the output of the system; second, there must be some means of comparing actual output with what is desired. At this stage the importance of well-established goals and standards in this process becomes readily apparent. Finally, if observed output does not coincide with desired output, appropriate adjustments to the process must be made.

In summary, true control can only exist within a system when the following elements are present: clearly defined goals or standards; output of the

system; a means of comparing actual output to desired output; and finally, the ability to make appropriate change to bring about the desired results.

The relationship between this model and command becomes apparent when the system or process becomes that of command. Figure 2 represents such a model. In this case, the "process of command" includes all that takes place within every command, regardless of size, whether ship or squadron, whether afloat or ashore. This process includes administration, operations, logistics, training, and most importantly, the people-to-people interactions that go on continually in carrying out these functions.

There are many inputs to this process. For simplicity it is helpful to group them into three categories and assume that these variables are not subject to control at the command level.

The first major input is technology. The importance of this input cannot be overlooked. The Navy operates in a technical world which promises to become more complex in the future. There is no doubt that a major challenge of command lies in maintaining and operating the highly sophisticated systems which are so necessary to a modern and effective Navy.

A second major group can be designated "organizational inputs." Included here are all of the requirements placed on command by higher authority, including operations, commitments, and guidance through policy and regulations. Other inputs such as logistics and support through special programs are also considered a part of this group.

The final and most critical input is people. People are the critical elements. They put life and vitality into the process of command. Without them, the other inputs are meaningless. The key to effectiveness and command performance lies locked within the potential of each individual who is a member of the command. The challenge of command is to release this potential and effectively channel it toward command goals.

Having defined and described the process and inputs of command, attention can be turned to output. Looking at command from this perspective may offer a clue to why such wide differences between commands are often observed. Many times identical ships or squadrons which operate with the same technical inputs, under nearly identical conditions seem to perform at vastly different levels. It is often hard to pin down the reason for this difference, but there seems to be a "feel" to an outstanding command. Unfortunately, the same applies to commands which are not so outstanding. One example of this is the very real difference that so often accompanies a change of command. In many cases performance, morale, and total effectiveness fluctuate rapidly. The point is, that the process of command always has output. Commands always perform at some level. Further, this output or performance is not constant but can vary widely over time, even within the same units. The question that should be asked is, "Why do such changes take place?" Or, in the context of this article, "Are these commands under control?"

Of course, there is no simple answer to these questions. However, certain elements must be present if any commanding officer or other decision maker in the management structure is to find himself in a position where real control is

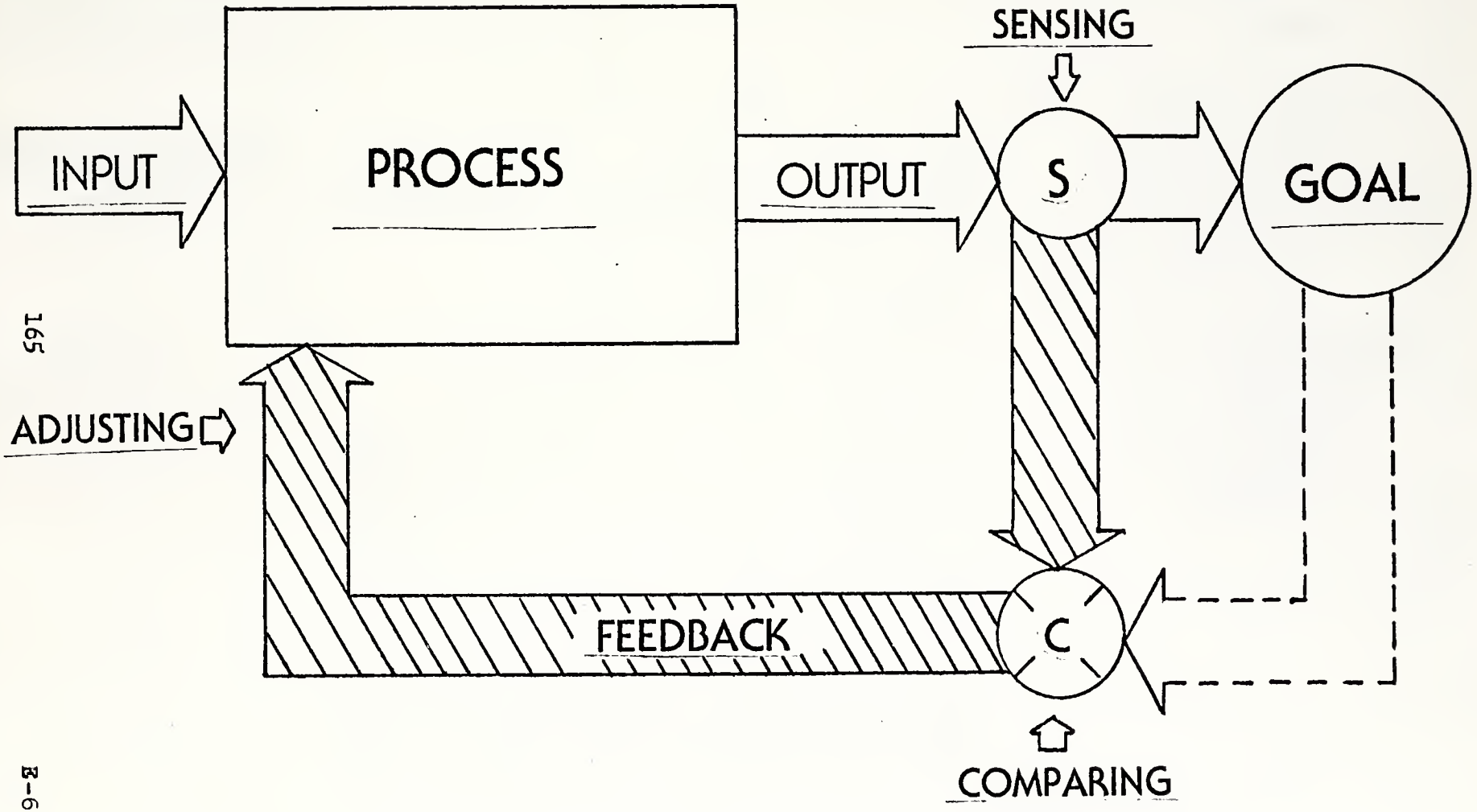
SENSING
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FIGURE 1

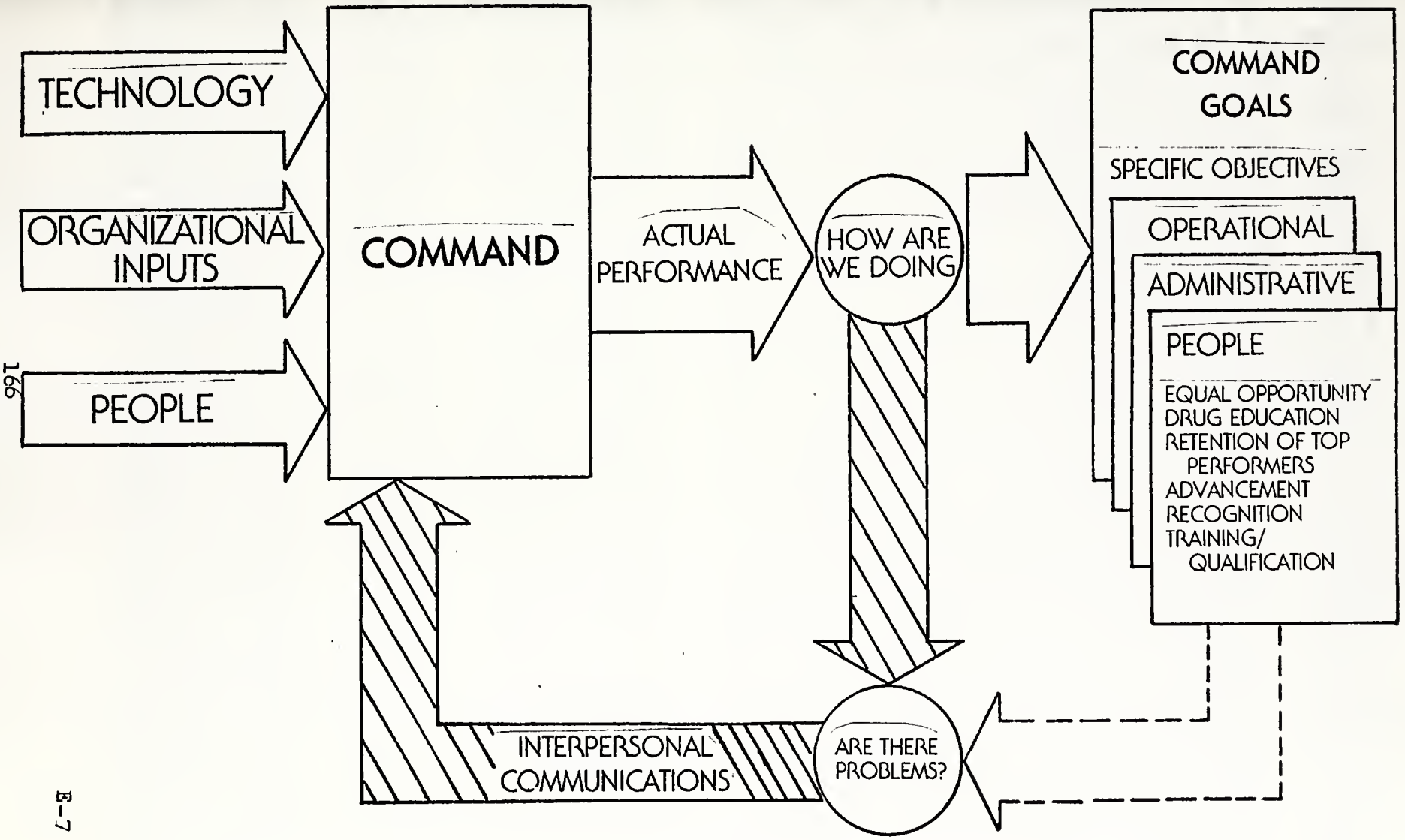

TECHNOLOGY
ORGANIZATIONAL INPUTS
PEOPLE
COMMAND
ACTUAL PERFORMANCE
HOW ARE WE DOING
COMMAND GOALS
SPECIFIC OBJECTIVES
OPERATIONAL
ADMINISTRATIVE
PEOPLE
EQUAL OPPORTUNITY
DRUG EDUCATION
RETENTION OF TOP PERFORMERS
ADVANCEMENT
RECOGNITION
TRAINING/ QUALIFICATION
INTERPERSONAL COMMUNICATIONS
ARE THERE PROBLEMS?

FIGURE 2

possible. A critical assumption is that, if he can develop a better understanding of the nature of these elements, he should be better able to insure their existence within his own command.

Continuing the previous analysis, it is obvious that the first requirement is that of clearly defined goals and objectives. Here, I would hope, that the goal would be nothing less than true command excellence. Broad mission statements are insufficient. If a goal is to be useful, and the objectives that are developed are to serve as a basis for comparison and action, they must be specific and related to the particular command. The relevant question is, "What specifically, are we trying to do?" If the goal is command excellence, the question becomes, "What makes a command truly excellent?" Only when such questions are asked at every level of command, and the answers worked out by those involved, will the foundation of real control be laid. The process of sitting down with key personnel and working out specific goals and objectives is difficult and time consuming, and is a very real challenge to one's ability to work effectively with people. Once this task is completed, however, effective action can easily follow. When this is done, the management team fully understands what is expected of them and having been given the chance to take a part in this process, they will feel a true sense of involvement and responsibility. It is such feelings, along with pride in being a valuable member of an effective team, that build true commitment and provide real satisfaction. Thus the commander must work closely with his officers, both to establish command goals and to set objectives which enable each to contribute best toward achieving the goals. In doing this, the foundation of command excellence is laid and a meaningful basis for evaluating individual performance is established. In this way the basis for evaluation of performance becomes achievement of mutually developed objectives.

While setting goals and developing objectives, the full scope of command should be considered. Certain administrative, training and operational goals and objectives usually become readily apparent. There are, however, many areas, particularly those involving people, that often are not given adequate priority. Specific objectives must be developed in the area of identification and utilization of talents within the command. Command should address recognition of superior performance and retention of top performers in the same way. Specific goals in the areas of minority affairs and drug abuse should also be identified. Finally, policies and regulations must support all efforts in such areas.

As questions of this kind are asked and answered, steps are being taken toward the establishment of the second vital control element, feedback. In my experience, no single element of control has been as vital and at the same time as difficult to generate as valid, timely feedback.

Historically we in the Navy have always recognized this need. Unfortunately, however, most of our efforts have been aimed at providing information regarding performance in the technical and organizational areas. Feedback of this kind is provided to command through daily reports, the PMS System, INSURV and material inspection, and personal visits by senior officers. Such methods emphasize preservation and maintenance of hardware and physical systems. Yearly administrative inspections, ORI's and competitive exercises are designed to reflect performance in administrative and operational areas. Unfortunately, however, these inspections often seem to have become ends in themselves rather

than means toward the goal of command excellence. As a result, feedback potential is usually lost. Additionally, such methods generally provide information on a yearly basis, and, therefore, cannot be considered timely enough for effective use as a control instrument. What is really needed by command is a means of knowing what is happening on a day-to-day basis.

If any one fact has become obvious to me in my present position, it is the realization that many commanding officers are not adequately aware of what is happening within their commands. Nowhere is this more apparent than in the areas involving people. Time and again situations have come to my attention that could, and would, be easily handled by local commands if they were but aware of their existence. Obviously, someone in the command is aware of these situations, but for some reason the one person who most needs the information remains uninformed. As a commanding officer, nothing presents a greater challenge than creating and maintaining a command climate in which such information flows freely.

Obviously, the key to the establishment of feedback and the whole question of control lies in developing and maintaining open, viable communication. Without such communications, the whole concept of control is meaningless. Recognition of this fact is vital as is the realization that the responsibility for initiating and maintaining open communications lies squarely with the leader. Those in command or other leadership positions must make establishment of viable communications throughout the chain of command a goal of highest priority, and they must personally take an active part in building a climate which makes such communications possible.

They must recognize that feedback cannot be legislated, and that interpersonal communications cannot be demanded. If they really desire accurate feedback, they cannot penalize those who bring problems to them. Such penalties don't solve problems, they only insure that command is kept unaware in the future.

Leaders must actively seek and be willing to accept other points of view; otherwise, they will achieve support of their own ideas at the cost of the insight and talent of those who would be their greatest helpers. Above all else, they must learn to listen. The greatest single cause of breakdown in communication is summarized in the statement "he just doesn't listen."

In doing this, it must be remembered that developing feedback takes time. Leaders must get out and talk with their men. The most constant message given the CNO by his retention study groups has been that commanding officers do not communicate with their subordinates, particularly junior officers.

When key people are recognizing problem areas and seeking command help in their solution, the decision maker will begin to enjoy a true feeling of control. In openly recognizing problems and seeking all available inputs toward their solution, he will be achieving control in the true sense. Only when he has created such a problem-solving atmosphere will he be able to continually take the action necessary to move toward command goals and objectives. Concerted team efforts can overcome many obstacles, once those obstacles are recognized.

Of course the greater the commander's insight into the total process of command, the easier it will be to insure that appropriate action is taken. Emphasis in the past may have overstressed training and education in the technical and organizational areas. Certainly there is no lesser need to gain knowledge and insight into the ways people behave in organizations. Not only will those in command better understand what is happening, they will find themselves better able to anticipate problems and to take timely and appropriate action. This particular field of knowledge has expanded greatly in the past twenty years. I am personally convinced that much of this knowledge can be of great benefit to us as naval leaders if we make use of it.

In summary, then, I have assumed that the goal of professional naval leadership is command excellence. I have proposed that development of a control system is a powerful method of moving toward this goal. For each command this system may be different, but it must include certain elements: first, clearly defined command goals and objectives; second, feedback must be insured through the establishment and maintenance of effective communications; and finally, appropriate action must be taken when necessary to insure continuing movement toward command goals.

Traditionally, such systems have been devised to provide control in technical and operational areas. What is needed now are similar systems to provide feedback and control in the people-related areas. Such systems are inherent within command. Further, the key to establishment of such systems seems to be in developing of command climates which recognize individual worth and dignity and encourage and support team-work toward well-defined goals and objectives. Finally, the vital linking process that enables command to function appears to be effective interpersonal communications.

These ideas are not new. I am sure that most of the truly effective leaders of the past used the very techniques proposed now by those who specialize in human resources management. In my view, the value to be gained lies in the fact that new knowledge is available that explains how and why certain individuals and groups turn in consistently superior performance.

We are now faced with building the Navy of the 1970's and 1980's. We are committed to a smaller, more effective force. Certainly technology will continue to play a vital role in the building of that Navy. The same technology will also increase the need to attract and retain bright, effective people. We must, therefore, begin to utilize the talent and potential of every Navyman more effectively or we cannot hope to reach this objective. The Navy, like many large institutions, is faced with the need to change and adapt in a changing world. These changes can be revolutionary and potentially destructive, or they can be anticipated and productive. The necessity for the latter is readily apparent. There are many lessons which have been learned within this area during the past ten years. A major challenge to the professional naval leader of the 1970's is the identification and application of this knowledge.

COMMANDANT INSTRUCTION 5350.11

A. Does this instruction adequately address our needs?

No.

B. What steps should be taken to update this instruction?

1. Equal Opportunity should have its own instruction and program which addresses the Commandant's Coast Guard-wide goals regarding such areas as upward mobility, military justice and retention.

2. Human Resource Management should replace Human Relations, and should be guided by a separate instruction.

C. Is there a need for a standardized form for the purpose of collecting the information required by Commandant Instruction 5350.11?

Yes, and the form should reflect progress in terms of results, rather than in terms of inputs (e.g. man-hours).

HUMAN RELATIONS FACILITATOR

TRAINING

A. Is the training program effective in its present state?

If the goal is to hold training sessions for all Coast Guard members by March 1978, then the program effectiveness in the 12th District is excellent. If the goal is to eliminate racism and sexism, the program is questionable.

B. How much progress have we made ensuring that all Coast Guard personnel receive this training?

About 1/3 of the 12th District personnel are now trained.

C. What problems, if any, have we encountered in our attempts to reach Coast Guard personnel with this training?

Nothing insurmountable.

D. How can we solve these problems?

N/A

E. Should the training program be revised to meet changing attitudes and conditions?

The notion that training is going to solve the problem should be re-examined.

F. How should we revise the training program?

If training is deemed necessary, the liberal perspective of the mid-1960's should be replaced by the new white perspective outlined by Dr. R. W. Terry in For Whites Only.

REPORT REQUIREMENTS

A. What problems, if any, are being encountered with the quarterly reports?

None from this side.

B. Is the report sufficient to meet our needs?

They are not designed to meet the District's needs.

C. What steps should be taken to improve the report?

The reports now ask for inputs ("description of efforts made", "number of . . . sessions held", "number of man-hours", etc.). I would recommend that the reports be the sensing mechanism measuring outputs (progress toward accomplishment of equal opportunity goals).

AFFIRMATIVE ACTION PLANS

A. Does your Affirmative Action Plan adequately address the needs of your particular area of responsibility?

Yes (see enclosure (3))

B. Can the Plan be standardized?

Only for the Coast Guard-wide Equal Opportunity problems that can be dealt with at the Headquarter's level.

C. What steps should be taken to accomplish standardization of the Affirmative Action Plans, if necessary?

Before steps are taken toward AAP standardization, Coast Guard-wide problems should be measured and a determination should be made as to whether it is an issue that Headquarters can address. For example, if data suggested that non-whites were being barred from E4 at a greater rate than whites because they more often scored lower on the BTB, Headquarters might address this problem by eliminating the cultural bias from the BTB and by initiating an Educational Enrichment Program at all districts and Headquarters units.

D. Does your district/command have a military civil rights council? If yes, what is the council's composition?

We used to have a council on each unit, but its value varied drastically from unit to unit.

PROGRAM RESOURCES

A. How are additional Program Resources obtained?

Out of hide.

B. What is Headquarters' responsibility?

A workable program that addresses the Equal Opportunity and unit organizational problems should first be developed, then sold to Congress in order to have the required funds and personnel made available.

C. What is the District's/Headquarters Unit's responsibility?

To document and justify our needs.

D. Have you submitted a planning proposal?

No.

EDUCATIONAL ENRICHMENT PROGRAM

A. How could we use this program to improve the racial climate of the Coast Guard?

The Educational Enrichment Program would only indirectly improve the racial climate. Its direct purpose is to increase Equal Opportunity in upward mobility.

B. What is our responsibility pertaining to the Educational Enrichment Program?

To provide an Educational Enrichment Program in every district where the data demonstrates the need. It is not something that the district/Headquarters Units have the resources to implement.

DISCRIMINATION COMPLAINTS

A. What unusual problems, if any, are we encountering in our attempts to resolve alleged complaints of discrimination at the local level?

None, except for problems outside district control (e.g. women assigned sea duty, discrimination in BTB, etc.)

B. What steps should be taken to improve the effectiveness of informal resolutions before the complaint reaches the formal stage?

We have no problems in this area; unit commanding officers are very co-operative.

C. Does the complaint procedures, as they are presently outlined in Commandant Instruction 5350.11, adequately address the needs in your particular area?

Yes.

D. What steps should be taken to ensure that counseling is done in a timely fashion?

Rights and Responsibilities Workshops, Middle Management Actions to Counter Racism Workshops and Cultural Expression in the Coast Guard Workshops should be implemented on each unit, with the goal of improving the chain-of-command's ability to eliminate racism and sexism. We do not believe that racism and sexism can be eliminated from outside a command - it must be done internally with the aid of outside (i.e. district) resources.

·CCGD12NOTE 5350

5 November 1976

CCGDTWELVE NOTICE 5350

Subj: Equal Opportunity Profiles

Ref: (a) CCGD12INST 5350.1A
(b) COMDTINST 5350.11

1. Purpose. The purpose of this Notice is to collect selected military personnel statistics to determine the current status of Equal Opportunity in the 12th District.

2. Discussion.

a. Phase I of the 12th District Military Civil Rights Program, as set forth in reference (a), is primarily concerned with increasing awareness of the nature of the race problem. Preparations are now under way to promulgate Phase II, which will be concerned with actual changes to ensure Equal Opportunity. It is required by reference (b) that these changes be directed by a District Affirmative Action Plan (AAP) and submitted to the Commandant for approval. (An AAP, of course, is a written document which outlines specific action steps designed to eliminate discrimination on the basis of race and sex.) However, a plan which is supposed to correct an undesirable situation is meaningless unless it is based on facts which pinpoint what needs correcting. It is only by a thorough analysis of the relevant data that specific areas for action are identified and alternatives to solve the problems are developed. Thus, the 12th District AAP will result from the following process:

Data Collection → Analysis → Problem Areas Identified → Alternative Recommendations → AAP

b. Equal Opportunity is largely a function of (and data will be collected around) the following four areas:

(1) Composition (total and by paygrade) - two profiles

(2) Upward Mobility (advancement) - one profile

(3) Military Justice (NJP and discharges) - two profiles

(4) Retention - one profile

c. The six Equal Opportunity profiles (derived from personnel statistics) will give each command graphic illustrations of the degree to which Coast Guard opportunities have been experienced by minority personnel within that command. These profiles are excellent management tools to identify problem areas and measure trends. It must be understood that EO profiles do not of themselves

constitute affirmative action. They are basically unobtrusive survey measures that can be developed from existing administrative data and a minimum of local observation.

3. Action. Responsibility for developing Equal Opportunity profiles will be distributed in accordance with the following sequence:

a. The Military Civil Rights Staff will distribute data reduction forms, and give instructions for their use, during unit visits in November 1976.

b. Group Commanders/Commanding Officers maintaining service records will complete the data reduction forms by 31 December 1976. The time frame for the data will be Transition Quarter and First Quarter FY 77 (six month period).

c. The Military Civil Rights Staff will develop unit EO profiles and discuss the results during unit visits in January 1977.

d. The Military Civil Rights Staff will develop a single set of EO profiles for the 12th District by 15 February 1977.

4. Cancellation. This Notice is cancelled for record purposes on 31 March 1977.

Original Signed By

D. W. STARR, JR.
Chief of Staff

Dist: (SDL No. 103 - CGD12 only)
A: a,f,h,m
C: a,e,g,i(Sta San Fran only), l,q,v
D: d

(G-NME/83)
202-426-1562

12 APR 1977

From: Commandant
To : Commander, Twelfth Coast Guard District (d)

Subj: Human Resources Management

Ref : (a) Your ltr 5350 dtd 29 December 1976

1. We are evaluating the programs of other services for applicability to the Coast Guard following completion of our existing Human/Race Relations Program. Considerable time has been devoted towards an understanding of the Navy's Human Resources Management (HRM) Program, which has been under development for over six years. Program managers within the Navy have great confidence in their existing HRM situation; however, they (and we concur) feel there is a continuing need for their "EOPS", or Military Equal Opportunity Counselors, to be used in conjunction with their HRM specialists.

2. Accordingly, with the understanding that HRM does not replace the responsibilities of your Human Relations Counselor/Facilitators, and our existing Awareness Training Program, you are authorized to proceed as outlined in paragraph 5, reference (a), for a period of one year on a pilot HRM Program. Please keep Commandant (G-H) advised of your progress on a quarterly basis with a final report on 31 March 1978 containing your recommendations for implementation of the Human Resources Management Program Coast Guard-wide.

3. An additional officer billet as requested in paragraph 4.c, reference (a), is not available at this time. Consideration should be given to providing the additional billet from among the officer resources currently assigned to the Twelfth Coast Guard District.

R. H. SCARBOROUGH
Chief of Staff

CHECKED BOX IF APPLIES	☒ ORDER FOR SUPPLIES OR SERVICES	☐ REQUEST FOR QUOTATIONS NO. RETURN COPY(IES) OF THIS QUOTE BY *(THIS IS NOT AN ORDER. See DD Form 1155r)*	PAGE 1 OF 2

CONTRACT/PURCH ORDER NO.	2. DELIVERY ORDER NO.	3. DATE OF ORDER	4. REQUISITION/PURCH REQUEST NO.	5. CERTIFIED FOR NATIONAL DEFENSE UNDER DMS REG 1
2-36320-77		1 Sep 1977		00

ISSUED BY: CODE	7. ADMINISTERED BY: *(If other than 6)* CODE	8. DELIVERY FOB
Commander 12th Coast Guard District 630 Sansome Street San Francisco, CA 94126	Same as issued by	☒ DEST ☐ OTHER (See Schedule if other)

CONTRACTOR/OUOTER (415) 328-7152 CODE	FACILITY CODE	10. DELIVER TO FOB POINT BY:	11. CHECK IF SMALL BUSINESS
		31 May 1978	☒

NAME AND ADDRESS	12. DISCOUNT TERMS	13. MAIL INVOICES TO:
Behavioral Alternatives 108-C Escondido Stanford, CA 94305 NGS	Net	See block 15

SHIP TO: CODE	15. PAYMENT WILL BE MADE BY: CODE	MARK ALL PACKAGES AND PAPERS WITH CONTRACT OR ORDER NUMBER
Contracting Officer 12th Coast Guard District 630 Sansome Street, Room 230 San Francisco, CA 94126 ATTN: Aileen D. Gillem	Commander (f) 12th Coast Guard District 630 Sansome Street San Francisco, CA 94126	

DELIVERY ☐ This delivery order is subject to instructions contained on this side of form only and is issued on another Government agency or in accordance with and subject to terms and conditions of above numbered contract.

PURCHASE ☒ Reference your quotation dtd 5 Aug 1977 furnish the following on terms specified herein, including, for U.S. purchases. General Provisions of Purchase Order on DD Form 1155r *(EXCEPT CLAUSE NO. 13 APPLIES ONLY IF THIS BOX ☒ IS CHECKED, AND NO. 15 IF THIS BOX ☐ IS CHECKED)*; special provisions ; and delivery as indicated. This purchase is negotieted under euthority of 10 USC 4(a)(3) or as specified in the schedule if within the U.S., its possessions or Puerto Rico; if otherwise, under 2304(a)(6). ☒ *If checked, Additional General Provisions apply; Supplier shall sign "Acceptance" on DD Form 1155r and return* 1 *copies.*

ACCOUNTING AND APPROPRIATION DATA/LOCAL USE

ALL 40 C 1 7 12 30 00 8X 71010 2634 36320 $5,000.00

ITEM NO.	19. SCHEDULE OF SUPPLIES/SERVICES	20. QUANTITY ORDERED/ ACCEPTED*	21. UNIT	22. UNIT PRICE	23. AMOUNT
1.	Prepare an evaluation report on a quarterly basis on the effectiveness of a Human Resources Management Program for the Twelfth Coast Guard District, San Francisco, CA, ascertain the progress and submit a final report at the end of the evaluation period, 1 Sep 1977 thru 31 May 1978. A. The work will entail the following phases: 1. Measurement. For each intervention, the change in the organization	1	job	for the lump sum of	$5,000.00

If quantity accepted by the Government is same as quantity ordered, indicate by ✓ mark. If different, enter actual quantity accepted below quantity ordered and encircle.	24. UNITED STATES OF AMERICA (415) 556-1629 BY: Aileen D. Gillem CONTRACTING/ORDERING OFFICER	25. TOTAL $5,000.00
		29. DIFFERENCES

26. QUANTITY IN COLUMN 20 HAS BEEN:	27. SHIP. NO.	28. D.D. VOUCHER NO.	30. INITIALS
☐ INSPECTED ☐ RECEIVED ☐ ACCEPTED, AND CONFORMS TO THE CONTRACT EXCEPT AS NOTED	☐ PARTIAL ☐ FINAL	32. PAID BY	33. AMOUNT VERIFIED CORRECT FOR
DATE SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE	31. PAYMENT ☐ COMPLETE ☐ PARTIAL ☐ FINAL		34. CHECK NUMBER
36. I certify this account is correct and proper for payment. SIGNATURE AND TITLE OF CERTIFYING OFFICER			35. BILL OF LADING NO.

37. RECEIVED	38. RECEIVED BY	39. DATE RECEIVED	40. TOTAL CONTAINERS	41. S/R ACCOUNT NUMBER	42. S/R VOUCHER NO.

1 FORM 1155 1 AUG 66

Form Approved by Comptroller General, U.S., 27 May 66
Exception to SF18 under $2500 approved by Budget Bureau Oct. 66

AME OF OFFEROR OR CONTRACTOR
ehavioral Alternatives 108-C Escondido Stanford, CA 94305

EM NO.	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT

(particularly behavioral change) must be measured. It is requested that multiple methods of instrument design be utilized to measure the HRM effectiveness on each unit. These instruments should include, but not be limited to, a pencil and paper questionnaire, personal interviews and direct behavioral observation. Measurement of each intervention should include a pre-test and post time series tests and/or post test compared to a unit which has not undergone an intervention. This, of course, will require interaction with the HRM team so that the intervention goals are clearly identified and that progress toward these goals is measurable.

2. Evaluation. Based upon the data collected, an intervention should be made about the success of each HRM strategy. One evaluation report of approximately 5 typewritten pages in length will be due by 30 November 77, another will be due by 28 February 78, and a final, comprehensive report approximately 30 typewritten pages, due by 31 May 78. All documentation and data should be an appendix to this final report.

B. Time Requirements. In addition to the time required to compose the three reports, the following 8-hour days will be required:

1. 5 days with the HRM team to learn the Coast Guard's vocabulary, type of work, organizational saga, etc.

2. 16 days (8 interventions X 2 days each) for on site observation and interviewing at the client unit (pre and post tests). Must be willing to travel to Monterey for one of the interventions - the remainder will be in the San Francisco Bay Area.

3. 24 days (8 interventions X 3 days each) at CCGD12 HRM office for pre-intervention coordination with HRM team to plan methodological design for research and the measurement instrument.

C. These services will commence on 1 September 1977 and will be terminated when the final report is delivered on 31 May 1978.

D. Contractor must have, as a minimum, two (2) years experience in the fields of organizational development and equal employment opportunity.

E. Payment will be made upon receipt of each report as follows:
30 Nov 77 - $1500.00
28 Feb 78 - $1500.00
31 May 78 - $2000.00
Submit reports in original and three (3) copies.

Additional General Provisions para. 21 through 28 are attached and hereby become a part of this Purchase Order.

di
5350
25 January 1978

FIRST ENDORSEMENT on YN1 Ronald E. CAMPBELL's ltr 5350 of 20 January 1978

From: Commander, Fourteenth Coast Guard District
To: Commandant (G-H/83)

Subj: Military Civil Rights Training Program

1. I wholly concur with the opinions and recommendations of Petty Officer CAMPBELL. We have spent many hours discussing Coast Guard civil rights/ human relations training. The Coast Guard needs to take a realistic, pragmatic, acceptable approach. The hard sell of the 16 hour standard package did not work. In truth, it was counter productive. We presented the standard program, tinkered with it, modified it. It was evolving as a more acceptable vehicle but still neither the recipients nor we were satisfied. Our search for improvement led to the Navy HRM program.

2. The HRMC, Pearl Harbor was most cooperative in providing advice, instruction, materials, and computer time. Petty Officer CAMPBELL on his own initiative worked closely with the HRMC. He became almost a part time member of the HRMC staff. As we used the Navy to help us, the HRMC used CAMPBELL to help it. It was a mutually satisfactory arrangement. The Coast Guard facilitator has to be intimately involved and knowledgeable in the HRM program.

3. We have found Coast Guardsmen support the civil rights movement. They are not ignorant of problems or progress made in resolving them. They do, however, resent being hit over the head with continual exhortations to reform. They want to move ahead with improvements in the entire human relations sphere. The human resource management program is designed to meet that desire. It works. The comments of those exposed, regardless of their initial reactions, have all been positive upon completion. The consensus was that this was the first time equal opportunity was clearly understood, as part of good management and good leadership.

J. C. GUTHRIE
By direction

5350
20 January 1978

From: YN1 Ronald E. CAMPBELL, 091 44 7132, USCG
To: Commandant (G-H/83)
Via: Commander, Fourteenth Coast Guard District (di)

Subj: Military Civil Rights Training Program

Ref: (a) Your ltr of 9 December 1977

1. Enclosed are the supportive information and the suggested outline requested by reference (a). I appreciate the opportunity to give input to a replacement program. It is my intention to illustrate that the program growth can be goal oriented, measurable, and maintain the thrust of human relations.

2. For the Coast Guard human relations follow-on I recommend a slightly modified Navy Human Resource Management Program. The modification should be limited to subsequent post survey activities. Of my many reasons for selecting the Navy HRM Program, I can support with reputable evidence the following:

(a) Program Validity. The present Navy HRM Program is centered on survey guided development. The actual survey instrument is based or twenty-five years of scientific research. Post survey activities are developed upon that research. Both the survey and the activities have withstood pilot test after pilot test. The Navy has found strong correlation between the survey data and the number of civil rights complaints to be expected. In addition to this correlation, the survey has accurately estimated refresher training scores, accidents, retention, and NJP's. Recently the survey data has been used to assess the impact on job performance of long family separations. Although I do not suggest that these areas are of primary concern to the Office of Civil Rights, I do submit that the potential management information is an added benefit not to be overlooked.

(b) Program Flexibility. Enclosure (1) illustrates overall program flexibility. Issues identified during data processing and work group feedback sessions require an even greater amount of flexibility which can be individually tailored to meet group needs. The same basic program is implemented regardless of command or work group size.

Subj: Military Civil Rights Training Program

(c) Training Availability. Much of the training required to transform basic data from the survey results into equal opportunity quality indicators is already taught in Phase II at DRRI. Coast Guard graduates have received this training for the last two years. Another eight week Navy school, Human Resource Management School, provides the training needed to perform the duties of a HRM facilitator. Commandant can set basic program guidelines from which to work. The individual counselors in the field could then pursue further education locally.

(d) Adaptability. The Fourteenth District has been able to make the transition from a Navy program to one viable and acceptable for the Coast Guard. All of the questions on the survey instrument, its dimensions and indices, are applicable to the Coast Guard. The expense of militarizing, validating, programming, data correlating, determining effectiveness, and many of the growing pains of a new program have all been completed by the Navy. The district Automatic Data Branches can make the changes necessary at the district level. I suggest utilizing the same Navy questionnaire and answer sheet by simply substituting Coast Guard for Navy where applicable in a reprint.

3. I cannot emphasize enough the strength of the HRM program. The survey has been administered to three types of commands in the Fourteenth District (Base Honolulu, CGC BUTTONWOOD, and the District Office). Without exception the results of the survey identified specific areas of concern as well as strengths in the lowest level work groups to the highest and from individual work groups to the entire command. In each instance the information was accepted and acted upon. I believe that since the information was data based and specific to the group addressed, it was perceived as sound.

4. It has been my observation that supervisors and their subordinates are pleased to have a sound attitudinal survey by which to gauge their efforts. The results of efforts put forth to address identified areas of concern are later measured by a time two study. The work group data are a

5350
20 Jaruary 1978

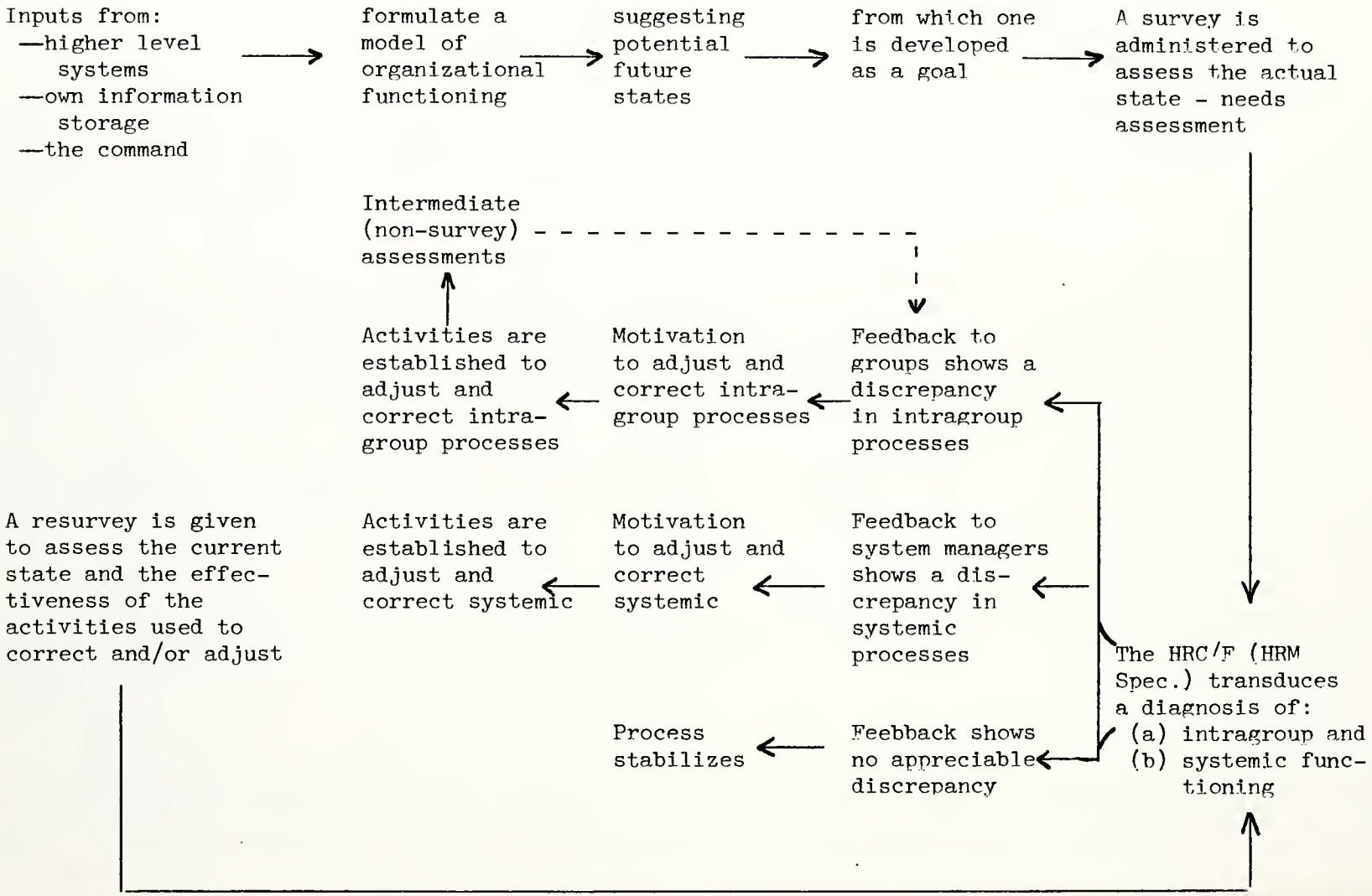
Subj: Military Civil Rights Training Program

dynamic spring board for issue identification and conflict management. Rather than throwing shotgun answers at the units, we are able to supply them with the questions which need resolution. We help them, if requested, but basically, units solve their own problems if they know what they are.

RONALD E. CAMPBELL

Encl: (1) Survey Guided Development Process
(2) Step by Step CG HRM Process

SURVEY-GUIDED DEVELOPMENT



Step by Step Coast Guard Human Resource Management Process:

Provide advance information to Commanding Officer

↓

Commence initial visit with command (CO, XO & others CO desires)

↓

Describe options in HRM cycle and activities to be conducted

↓

Define the purpose and procedures of survey

↓

Make arrangements for command assistance in survey administration

↓

CO identify current goald & objectives

Construct HRM survey supplemental questions with the CO & XO

↓

Determine organizational structure of command — code work groups

↓

Make final HRM survey logistics and administration arrangements

↓

Provide HRM info to entire command; prepare for survey

↓

Conduct HRM Survey

↓

Prepare data run request; process survey data

Review and analyze HRM data as per Analysis Guide

↓

Conduct initial HRM Survey feedback with CO & other personnel designated by CO

↓

Provide additional data or data runs as required

↓

Conduct planning for feedback to level specified by CO of unit

↓

Prepare supervisors for conducting work group feedback sessions

↓

Conduct feedback sessions to level specified by CO

Supervisors pass issues up chain of command

↓

CO/XO prioritize issues

↓

Identify and propose workshops which address commands concerns

↓

Command approves proposed workshops

↓

Conduct workshops

↓

Conduct planning and development activities (prep) for action plan

Develop schedule for writing Command Action Plan

↓

Draft plan to address areas surfacing thru the chain of command

↓

Conduct planning for action plan implementation

↓

Enter follow-on activities (if any are requested by the command)

↓

Establish goals to be measured by a future survey

↓

Process stabilizes; depart command

DEPARTMENT OF TRANSPORTATION

COAST GUARD

Organizational Development Survey

AIR STATION S.F.

INSTRUCTIONS

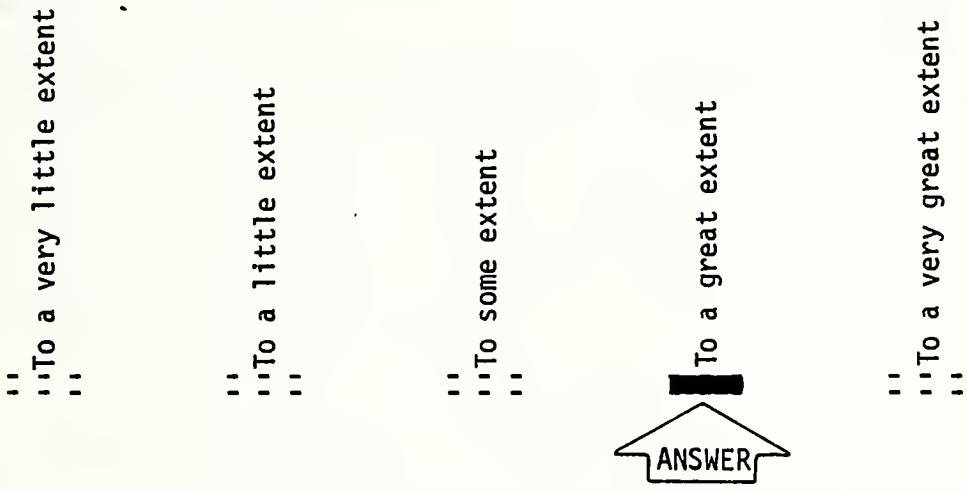
1. All questions can be answered by filling in appropriate answer spaces on the answer sheet. If you do not find the exact answer that fits your case, use the one that is closest to it.

2. Please answer all questions.

3. Remember, the value of the survey depends upon your being straightforward in answering this questionnaire. You will not be identified with your answers.

4. The answer sheet is designed for automatic scanning of your responses. Questions are answered by marking the appropriate answer spaces on the answer sheet, as illustrated in this example:

   Q. To what extent does your supervisor encourage people to give their best effort?



5. Please use a soft pencil and observe carefully these important requirements:
   - Make heavy black marks that fill the spaces.
   - Erase cleanly any answer you wish to change.
   - Make no stray markings of any kind.

6. *Questions about "your supervisor" refer to the person to whom you report directly. Questions about "your work group" refer to all those persons who report to the same supervisor as you do.*

7. Below is an example for filling in side 1 of the answer sheets:

   11. Paygrade:

E	OFF	WARR	ENL	GS	WG	WL	WS	WD	WN	NA
5	1	2	3	4	5	6	7	8	9	10
	11	12	13	14	15	16	17	18	19	20

1. Is the amount of information you get about what is going on in other sections or offices adequate to meet your needs?

2. To what extent are you told what you need to know to do your job in the best possible way?

3. How receptive are those above you to your ideas and suggestions?

4. Decisions are made at Air Station SF at those levels where the most adequate information is available.

5. Information is widely shared at Air Station SF so that those who make decisions have access to available know-how.

6. When decisions are being made, to what extent are the people affected asked for their ideas?

7. To what extent do you feel motivated to contribute your best efforts to Air Station SF's mission and tasks?

8. Do you regard your duties at the Air Station as helping your career?

9. Work group members who contribute the most are rewarded the most.

10. To what extent does Air Station SF have a real interest in the welfare and morale of assigned personnel?

11. To what extent are work activities sensibly organized at Air Station SF.

12. Air Station SF has clear-cut, reasonable goals and objectives that contribute to its mission.

13. I feel that the workload and time factors are adequately considered in planning our work group assignments.

14. In general, how much influence do lowest level supervisors (supervisors of non-supervisory personnel) have on what goes on in your section?

15. In general, how much influence do non-supervisory personnel have on what goes on in your section?

16. How friendly and easy to approach is your supervisor?

17. When you talk with your supervisor, to what extent does he/she pay attention to what you are saying?

18. To what extent is your supervisor willing to listen to your problems?

19. My supervisor makes it easy to tell him/her when things are not going as well as he/she expects.

20. To what extent does your supervisor encourage the people who work for him/her to work as a team?

21. To what extent does your supervisor encourage the people who work for him/her to exchange opinions and ideas?

22. To what extent does your supervisor encourage people to give their best effort?

23. To what extent does your supervisor maintain high personnal standards of performance?

24. To what extent does your supervisor help you to improve your performance?

25. To what extent does your supervisor provide you with the help you need so you can schedule work ahead of time?

26. To what extent does your supervisor offer new ideas for solving job related problems?

27. How friendly and easy to approach are the members of your work group?

28. When you talk with the members in your work group, to what extent do they pay attention to what you are saying?

29. To what extent are the members in your work group willing to listen to your problems?

30. How much do members of your work group encourage each other to work as a team?

31. How much do members in your work group stress a team goal?

32. How much do people in your work group encourage each other to give their best effort?

33. To what extent do people in your work group maintain high standards of performance?

34. To what extent do members in your work group help you find ways to improve your performance?

35. To what extent do members of your work group provide the help you need so you can plan, organize and schedule work anead of time?

36. To what extent do members of your work group offer each other new ideas for solving job related problems?

37. Members of my work group take the responsibility for resolving disagreements and working out acceptable solutions.

38. To what extent do people in your work group exchange opinions and ideas?

39. To what extent does your work group plan together and coordinate its efforts?

40. To what extent do you have confidence and trust in the members of your work group?

41. To what extent is information about important events widely exchanged within your work group?

42. To what extent does your work group make good decisions and solve problems well?

FOR QUESTIONS 43, 44, 45, TO WHAT EXTENT DO THE FOLLOWING STATEMENTS DESCRIBE AIR STATION SF?

43. I am not endlessly referred from person to person when I need help.

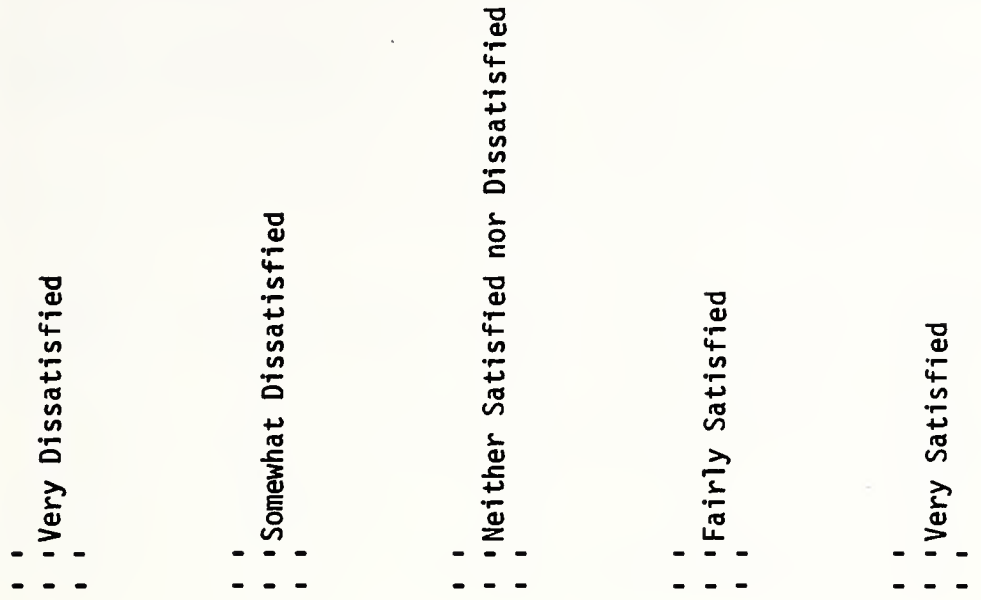
44. I don't have to go through a lot of "red tape" to get things done.

45. I am not hemmed in by longstanding rules and regulations that no one seems to be able to explain.

46. The members of my work group reflect appropriate standards of courtesy, appearance and grooming.

47. I feel that appropriate standards of order and discipline are maintained within my work group.

Questions 48 through 53 are answered, on the answer sheet, as shown below.



48. All in all, how satisfied are you with the people in your work group?

49. All in all, how satisfied are you with your supervisor?

50. All in all, how satisfied are you with your job?

51. All in all, how satisfied are you with Air Station SF, compared to most others?

52. All in all, how satisfied do you feel with the progress you have made in the CG, up to now?

53. How satisfied do you feel with your chance for getting ahead in the CG in the future?

54. Does your assigned work give you pride and feelings of self-worth?

55. To what extent is Air Station SF effective in getting you to meet its needs and contribute to its effectiveness?

56. To what extent does Air Station SF do a good job of meeting your needs as an individual?

57. I have been adequately trained to perform my assigned tasks.

58. To what extent has Air Station SF trained you to accept increased leadership?

59. To what extent has Air Station SF trained you to accept increased technical responsibility?

60. Our supervisor gives our work group credit for good work.

61. To what extent does your supervisor attempt to work out conflicts within your work group?

62. People at higher levels of the Air Station SF are aware of the problems at my level.

63. At Air Station SF there is a willingness to talk about racial issues.

64. At Air Station SF there is a willingness to talk about sex discrimination.

65. To what extent does Air Station SF ensure that you have equal opportunity for advancement in rate/rank/grade?

66. To what extent does Air Station SF ensure that you have equal opportunity for job assignment?

67. To what extent does Air Station SF ensure that you have equal opportunity for housing?

68. To what extent does Air Station SF ensure that you have equal opportunity for education and training?

69. To what extent does Air Station SF ensure that you receive a fair and objective performance evaluation?

70. To what extent does Air Station SF ensure that you have equal opportunity for recreation?

71. To what extent is discipline administered fairly throughout Air Station SF.

72. At Air Station SF work assignments are fairly made.

73. People at Air Station SF discourage favoritism.

74. To what extent do you understand the reasons contributing to the abuse of drugs?

75. My supervisor can be depended upon to respond helpfully and appropriately to personnel with drug problems.

76. To what extent would you feel free to talk to your supervisor about an alcohol problem in your work group?

77. To what extent does Air Station SF promote attitudes of responsibility towards the use of alcoholic beverages?

78. To what extent does Air Station SF provide alternatives to the use of alcohol at social functions?

79. To what extent would your work group accept and support a recovered alcoholic?

You are finished. Spaces 80 - 88 on the answer sheet should be left blank.

UNITED STATES COAST GUARD
ORGANIZATIONAL DEVELOPMENT QUESTIONNAIRE

IMPORTANT PLEASE READ

This questionnaire is being given to you as part of a project to measure your opinions about your work and about yourself. The value of this project depends upon your being straightforward and honest. All of your individual answers will be strictly confidential. Only the researchers conducting this project will have access to your particular questionnaire. Any data shown to your command will only be done so in a combined form.

PERSONAL INFORMATION

The following items ask for some background information about yourself. Your answers will be kept strictly confidential.

For question 1 carefully follow the instructions given to you by the questionnaire administrator.

1. What is your identification code? ☐☐☐☐☐ (1-5) ☐1 (6)

For questions 2 and 3 please put an "X" in only one box, whichever is appropriate.

2. How many times have you taken this questionnaire before? (7)

0	1	2	3
☐	☐	☐	☐

(8)

2. What is your sex?

Male	☐ 1
Female	☐ 2

For questions 4 through 12, please fill in each box with the appropriate numbers asked for.

4. What is your status? ☐ (9)
   1. Enlisted
   2. Warrent
   3. Civilian
   4. Officer

5. What is your rate/rank/grade? ☐☐ (10-11)

   Example: if you are a Seaman enter 03, an Ensign 01, a W-4 04, a GS-6 06, etc.

6. What is your age? ☐☐ (12-13)
Example: if you are 21 years old, enter 2 1

7. What is your marital status? ☐ (14)
1. Single (never been maried)
2. Married
3. Other (Widowed, separated, divorced)

8. What, in your opinion, is your racial/ethnic identity? ☐ (15)
1. Polynesian, Samoan, Hawaiian
2. Chinese, Japanese, Korean
3. White
4. Spanish decent (Mexican American, Puerto Rican, Cuban American, Chicano, Latino)
5. Malayan, Filipino, Guamanian
6. Black
7. Indian tribes, Eskimo, Aleut (Native American)

9. What is your highest level of education? (select one) ☐ (16)
1. Completed grade school or less
2. Some high school
3. Completed high school (uncluding G.E.D.)
4. Some college
5. Associate Degree
6. Bachelor's Degree
7. Some graduate school
8. Master's Degree
9. Beyond Master's Degree

10. How long have you been assigned to this unit? ☐ (17)
1. Less than 3 months
2. 3 months but less than 6 months
3. 6 months but less than 1 year
4. 1 year but less than 2 years
5. 2 years but less than 3 years
6. 4 or more years

11. How long have you been in the Coast Guard? ☐☐ (18-19)

Example: if you have been in for 2 years
put 0 2

12. What are your current service/job plans? ☐ (20)
1. Eligible for retirement now and plan to retire
2. Plan to stay on active duty until eligible to retire
3. Re-enlist or remain aboard but uncertain about making the Coast Guard a career
4. I am not certain about my service/job plans (I am not eligible for retirement)
5. I do not plan to stay beyond my current obligation, enlistment, or extension.

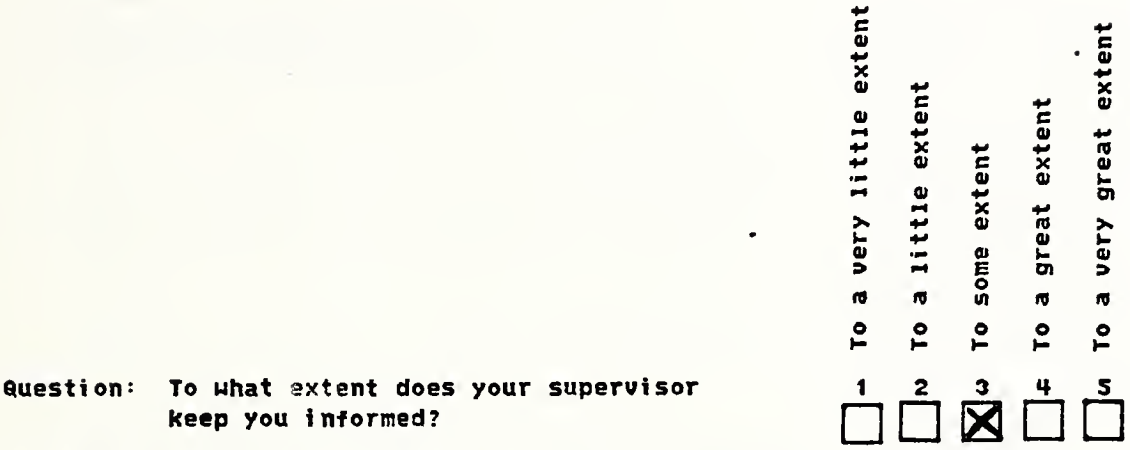
SURVEY QUESTIONS

PART 1

INSTRUCTIONS

Most questions can be answered by choosing one of the answers given. If you do not find the exact answer that fits your case, choose the one that is closest to it.

Answer questions by making an "X" in the box by the number of your answer choice, as shown in this example:



Use either pen or pencil - Be sure each answer is clearly marked

Turn the page only after the questionnaire administrator tells you to.

Note:
The following questions (13-32) about "this organization" refer to the command (ship, group, station, etc.) you are presently assigned to and <u>not</u> to the Coast Guard in general or to your particular department or division.

	1 To a very little extent	2 To a little extent	3 To some extent	4 To a great extent	5 To a very great extent	
13. To what extent does this organization do a good job of putting out the word to you?	☐	☐	☐	☐	☐	(21)
14. To what extent is the amount of information you get from other work groups adequate to meet your job requirements?	☐	☐	☐	☐	☐	(22)
15. To what extent is the chain of command (those above you) receptive to your ideas and suggestions?	☐	☐	☐	☐	☐	(23)
16. Decisions are made in this organization by those people who have the most adequate information.	☐	☐	☐	☐	☐	(24)
17. Information is widely shared in this organization	☐	☐	☐	☐	☐	(25)
18. When decisions are being made, to what extent are the people affected asked for their ideas?	☐	☐	☐	☐	☐	(26)
19. To what exent do you want to contribute your best efforts to the organiazation's mission and tasks?	☐	☐	☐	☐	☐	(27)
20. To what extent are there things about this organization that encourage you to work hard?	☐	☐	☐	☐	☐	(28)
21. To what extent do people who work hard receive recognition from others in this organization?	☐	☐	☐	☐	☐	(29)
22. To what extent does this organization do a good job of meeting your needs as an individual?	☐	☐	☐	☐	☐	(30)

		To a very little extent	To a little extent	To some extent	To a great extent	To a very great extent	
23.	To what extent does this organization show a real interest in the people?	1	2	3	4	5	(31)
24.	This organization's overall mission (the reason for its existance) is clear.	1	2	3	4	5	(32)
25.	Given the organization's mission, the goals (or methods of achieving the mission) are clear-cut and reasonable.	1	2	3	4	5	(33)
26.	When your work group assignments are planned, both the workload and time factors are considered.	1	2	3	4	5	(34)
27.	People above you in the organization are aware of your problems.	1	2	3	4	5	(35)
28.	To what extent has this organization provided information to assist you and/or your family to live in this area?	1	2	3	4	5	(36)
29.	To what extent are newly reported personnel quickly integrated into the activities and work of this organization?	1	2	3	4	5	(37)
30.	All in all, to what extent is this organization effective at achieving its mission?	1	2	3	4	5	(38)
31.	All in all, to what extent is this organization effective in dealing with people?	1	2	3	4	5	(39)
32.	All in all, to what extent are you satisfied with this organization?	1	2	3	4	5	(40)

Note:
The following questions about "your supervisor" (33-45) refer to the individual you directly report to.

		1 To a very little extent	2 To a little extent	3 To some extent	4 To a great extent	5 To a very great extent	
33.	How easy to approach is your supervisor?	☐	☐	☐	☐	☐	(41)
34.	When you talk with your supervisor, to what extent does he/she pay attention to what you say?	☐	☐	☐	☐	☐	(42)
35.	To what extent is your supervisior willing to listen to your problems?	☐	☐	☐	☐	☐	(43)
36.	When things are not going as well as your supervisor expects, to what extent is it easy to tell him/her?	☐	☐	☐	☐	☐	(44)
37.	To what extent does your supervisor encourage the people in your work group to exchange opinions and ideas?	☐	☐	☐	☐	☐	(45)
38.	To what extent does your supervisor attempt to work out conflicts within your work group?	☐	☐	☐	☐	☐	(46)
39.	To what extent does your supervisor stress a team goal?	☐	☐	☐	☐	☐	(47)
40.	To what extent does your supervisor encourage your best efforts?	☐	☐	☐	☐	☐	(48)
41.	To what extent does your supervisor help you improve your performance?	☐	☐	☐	☐	☐	(49)
42.	To what extent does your supervisor expect high standards of performance from you?	☐	☐	☐	☐	☐	(50)
43.	To what extent does your supervisor provide information you need to plan, organize, and schedule your work ahead of time?	☐	☐	☐	☐	☐	(51)
44.	To what extent does your supervisor roll up his/her sleeves and work along side his/her team as the need arises?	☐	☐	☐	☐	☐	(52)
45.	To what extent does your supervisor offer you ideas to help you solve job-related problems?	☐	☐	☐	☐	☐	(53)

Note:
The following questions (46-63) about "Your work group" refer to everybody who reports to the same supervisor as you do.

		1 To a very little extent	2 To a little extent	3 To some extent	4 To a great extent	5 To a very great extent	
46.	How easy to approach are the members of your work group?	☐	☐	☐	☐	☐	(54)
47.	When you talk with members of your work group, to what extent do they pay attention to what you are saying?	☐	☐	☐	☐	☐	(55)
48.	To what extent are the members of your work group willing to listen to your problems?	☐	☐	☐	☐	☐	(56)
49.	To what extent do the members of your work group want you to do well and wish for your success?	☐	☐	☐	☐	☐	(57)
50.	To what extent do members of your work group resolve disagreements and work out acceptable solutions?	☐	☐	☐	☐	☐	(58)
51.	To what extent do people in your work group exchange ideas and opinions?	☐	☐	☐	☐	☐	(59)
52.	To what extent does your work group work as a team?	☐	☐	☐	☐	☐	(60)
53.	How much do people in your work group encourage you to give your best effort?	☐	☐	☐	☐	☐	(61)
54.	To what extent do members of your work group maintain high standards of performance?	☐	☐	☐	☐	☐	(62)
55.	To what extent do members of your work group help you find ways to improve your performance?	☐	☐	☐	☐	☐	(63)
56.	To what extent do members of your work group make it easy for you to plan, organize, and schedule your work ahead of time?	☐	☐	☐	☐	☐	(64)
57.	To what extent do members of your work group offer you ideas for solving job-related problems?	☐	☐	☐	☐	☐	(65)

	1 To a very little extent	2 To a little extent	3 To some extent	4 To a great extent	5 To a very great extent	
58. To what extent does your work group plan together and coordinate its efforts?	☐	☐	☐	☐	☐	(66)
59. To what extent do you have confidence and trust in the members of your work group?	☐	☐	☐	☐	☐	(67)
60. To what extent is information about important events widely exchanged within your work group?	☐	☐	☐	☐	☐	(68)
61. All in all, to what extent does your work group effectively get the job done?	☐	☐	☐	☐	☐	(69)
62. All in all, to what extent does you work group meet your personal needs?	☐	☐	☐	☐	☐	(70)
63. All in all, how satisfied are you with the people in your work group?	☐	☐	☐	☐	☐	(71)

MISCELLANEOUS

	1	2	3	4	5	
64. To what extent do you get endlessly referred from person to person when you need help?	☐	☐	☐	☐	☐	(72)
65. To what extent do you have to go through a lot of "red tape" to get things done?	☐	☐	☐	☐	☐	(73)
66. To what extent do you get hemmed in by longstanding rules and regulations than no one seems to be able to explain?	☐	☐	☐	☐	☐	(74)
67. Does your assigned work give you pride and feelings of self worth?	☐	☐	☐	☐	☐	(75)
68. To what extent do nonsupervisory personnel (any individual not designated as a supervisor in this organization) influence what goes on in your department?	☐	☐	☐	☐	☐	(76)
69. To what extent do the lowest level supervisors (supervisors of nonsupervisory personnel) influence what goes on in your depatment?	☐	☐	☐	☐	☐	(77)

PART 2

This part of the survey contains questions about you--to find out what the people that work in this organization are like and how they might change over time. At first glance, many of the questions may seem to not be related to your work. However, we assume that people bring to the work setting all of themselves. This is why it is important to understand as much as we can about the people in your unit to better understand the organization itself.

INSTRUCTIONS

This section gives pairs of statements. Read each statement and decide which of the two paired statements most fits you.

Mark your answers by placing an "X" in the box in front of the statement you choose. If neither statement seems to apply to you, go ahead and choose one that seems closer to fitting you.

Remember to give YOUR OWN opinion of yourself and do not skip any of the pairs. Be sure and choose one of each pair.

Disregard the numbers to the left of each statement. They are only used for recording your answers more easily.

☐☐☐☐☐ 2

(1-5) (6)

(7) 8 ☐ I believe in saying what I feel in dealing with others.
9 ☐ I do not believe in saying what I feel in dealing with others.

(8) 2 ☐ For me, anything is possible if I believe in myself.
3 ☐ I have a lot of personal weaknesses even though I beleive in myself.

(9) 7 ☐ People are naturally able to work together.
6 ☐ People naturally don't get along.

(10) 8 ☐ I put others' interests before my own.
9 ☐ I do not put others' interest before my own.

(11) 1 ☐ I trust my ability to size up a situation.
0 ☐ I do not trust my ability to size up a situation.

(12) 2 ☐ My feelings of self worth depend on how much I accomplish.
3 ☐ My feelings of self worth do not depend on how much I accomplish.

(13) 8 ☐ I only feel free to express my warm feelings to my friends.
9 ☐ I feel free to express both warm and hostile feelings to my friends.

(14) 7 ☐ I believe that man is essentially good and can be trusted.
6 ☐ I believe that man is essentially evil and cannot be trusted.

(15) 1 ☐ I feel certain and secure in my relationships with others.
0 ☐ I feel uncertain and insecure in my relationship with others.

(16) 5 ☐ I can express affection regardless of whether it is returned.
4 ☐ I cannot express affection unless I am sure it will be returned.

(17) 7 ☐ I enjoy separation and privacy.
6 ☐ I do not enjoy separation and privacy.

(18) 3 ☐ I welcome criticism as an opportunity to improve myself.
2 ☐ I do not welcome criticism as an opportunity to improve myself.

(19) 7 ☐ I feel dedicated to my work.
6 ☐ I do not feel dedicated to my work.

(20) 6 ☐ People have an instinct for evil.
7 ☐ People do not have an instinct for evil.

(21) 6 ☐ I can like people without having to approve of them.
7 ☐ I cannot like people without having to approve of them.

(22) 4 ☐ Impressing others is most important.
5 ☐ Expressing myself is most important.

(23) 7 ☐ I am able to risk being myself.
6 ☐ I am not able to risk being myself.

(24) 9 ☐ I am able to express my feelings even when they sometimes result in undesirable consequences.
8 ☐ I am unable to express my feelings if they are likely to result in undesirable consequences.

(25) 5 ☐ Being myself is helpful to others.
4 ☐ Just being myself is not helpful to others.

(26) 7 ☐ People are basicly good.
6 ☐ People are not basicly good.

(27) 0 ☐ It is important that others accept my point of view.
1 ☐ It is not necessary for others to accept my point of view.

(28) 8 ☐ I already know all I need to know about my feelings.
9 ☐ As life goes on, I continue to know more and more about my feelings.

(29) 0 ☐ I am afraid to be myself.
1 ☐ I am not afraid to be myself.

(30) 2 ☐ I am afraid of making mistakes.
2 ☐ I am not afraid of making mistakes.

(31) 4 ☐ Two people will get along best if each tries hard to please the other.
5 ☐ Two people can get along best if each person feels free to be himself.

(32) 3 ☐ I feel free to reveal my weaknesses among my friends.
2 ☐ I do not feel free to reveal my weaknesses among my friends.

(33) 7 ☐ For me, work and play are the same.
6 ☐ For me, work and play are opposites.

(34) 7 ☐ People should be confident and sure.
6 ☐ People should not be confident and sure.

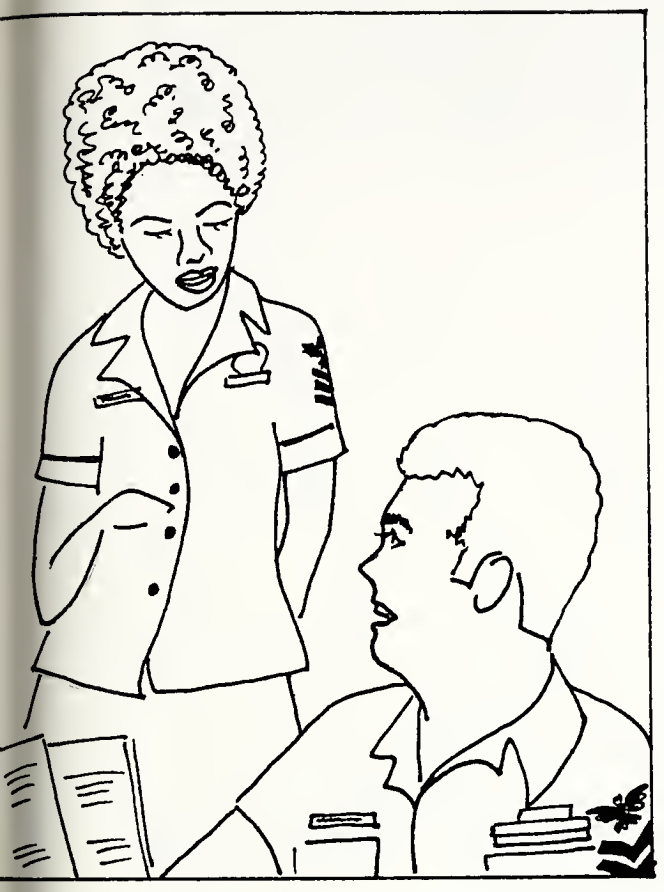
(35) 5 ☐ I can "stick my neck out" in my dealings with others.
4 ☐ I avoid "sticking my neck out" in my dealings with others.

(36) 0 ☐ Criticism threatens my self-worth
1 ☐ Criticism does not threaten my self-worth.

PART 3

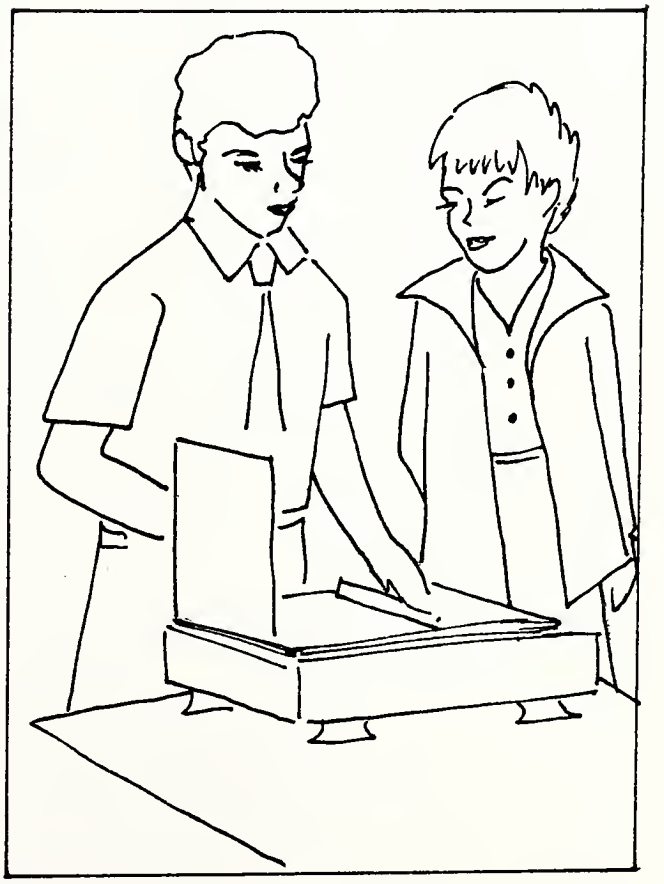
Answer the following questions by making an "X" in the box by the number of your answer choice—as was done in part 1.

	1 To a very little extent	2 To a little extent	3 To some extent	4 To a great extent	5 To a very great extent	
1. To what extent does your work group receive willing support from other departments/ divisions?	☐	☐	☐	☐	☐	(37)
2. To what extent is there fighting between work groups?	☐	☐	☐	☐	☐	(38)
3. Given the mission and schedule of your ship, to what extent is the liberty handled fairly?	☐	☐	☐	☐	☐	(39)
4. To what extent is nonjudicial punishment effectively handled?	☐	☐	☐	☐	☐	(40)
5. To what extent are Coast Guard standards of order and discipline maintained in your work group?	☐	☐	☐	☐	☐	(41)
6. To what extent are your work group's efforts coordinated with other work groups?	☐	☐	☐	☐	☐	(42)
7. To what extent do you keep occupied with meaningful work?	☐	☐	☐	☐	☐	(43)
8. To what extent do you respect and admire your peers (those of similar rank/rate)?	☐	☐	☐	☐	☐	(43)
9. To what extent do you respect and admire those above you in the chain-of-command?	☐	☐	☐	☐	☐	(44)
10. To what extent are you proud to be part of this ship?	☐	☐	☐	☐	☐	(45)
11. To what extent are you satisfied with the training you receive?	☐	☐	☐	☐	☐	(46)



NAVY (SHORE) HUMAN RESOURCE MANAGEMENT SURVEY

The Navy is highly interested in improving the overall conditions within i's commands, promoting individual command excellence, and increasing the satisfaction of personnel toward Navy life. Areas of particular concern include leadership, equal opportunity, race relations, training and utilization of people, motivation and morale, good order and discipline, communications, concern for people, drug and alcohol abuse, and interaction with peoples of other countries.



This survey is intended to provide information that can be used to decide the areas to receive greatest emphasis in the future, both within your command and the Navy in general. If the results are to be helpful, it is important that you answer each question as thoughtfully and frankly as possible. This is not a test; there are no right or wrong answers.

The completed questionnaires will be processed by automated equipment which will summarize the answers in statistical form. Your individual answers will remain strictly confidential, since they will be combined with those of many other persons.

REPORT SYMBOL BUPERS 5314-6
PROCESS CONTROL NO. 19

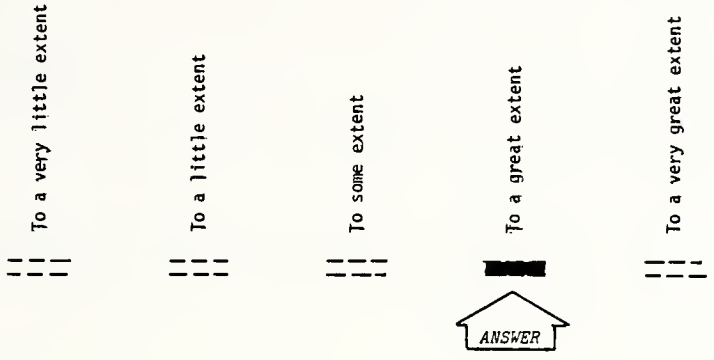
INSTRUCTIONS

1. All questions can be answered by filling in appropriate spaces on the answer sheet. If you do not find the exact answer that fits your case, use the one that is closest to it.

2. Remember, the value of the survey depends upon your being straightforward in answering this questionnaire. Your answer sheets are forwarded directly to the computer center and no one from your organization will see them.

3. The answer sheet is designed for automatic scanning of your responses. Questions are answered by marking the appropriate answer spaces (---) on the answer sheet, as illustrated in this example:

   Q. To what extent does your supervisor encourage the members of your work group to give their best efforts?



4. Please use a soft pencil, and observe carefully these important requirements:

   - Make heavy black marks that fill the spaces.
   - Erase cleanly any answer you wish to change.
   - Make no stray markings of any kind.

5. Questions about "this organization" refer to the activity or command to which you are assigned. Questions about "your supervisor" refer to the person to whom you report directly. Questions about "your work group" refer to all those persons who report to the same supervisor as you do.

6. Definitions:

   A. Lowest Level Supervisor--supervisors of non-supervisory personnel or as defined by the survey administrator. See question #59.

   B. Non-Supervisory Personnel--any individual not designated as a supervisor in this organization or as defined by the survey administrator. See question #60.

7. Below are examples for filling in side 1 of the answer sheet.

   Example A: question #7. How long have you been assigned to your present work group?

   --- Less than 1 month

   --- 1 month but less than 6 mos.

   ■■■ 6 mos. but less than 1 year

   --- 1 year or more

   Example B: question #10 AGE:

2	--- ■■■ --- --- --- --- --- ---
1	--- ■■■ --- --- --- --- --- --- --- --- ---

1. To what extent is the amount of information you get from other work groups adequate to meet your job requirements?

2. To what extent does this organization do a good job of putting out the word to you?

3. To what extent is the chain of command (those above you) receptive to your ideas and suggestions?

4. Decisions are made in this organization at those levels where the most adequate information is available.

5. Information is widely shared in this organization so that those who make decisions have access to available know-how.

6. When decisions are being made, to what extent are the people affected asked for their ideas?

7. To what extent do you feel motivated to contribute your best efforts to the organization's mission and tasks?

8. To what extent are there things about this organization (people, policies or conditions) that encourage you to work hard?

9. To what extent do people who work hard receive recognition from this organization?

10. To what extent does this organization have a real interest in the welfare and morale of assigned personnel?

11. To what extent are work activities sensibly organized in this organization?

12. This organization has clear-cut, reasonable goals and objectives that contribute to its mission.

13. I feel that the workload and time factors are adequately considered in planning our work group assignments.

14. People at higher levels of the organization are aware of the problems at your level.

15. How friendly and easy to approach is your supervisor?

16. To what extent does your supervisor pay attention to what you say?

17. To what extent is your supervisor willing to listen to your problems?

18. When things are not going as well as your supervisor expects, to what extent is it easy to tell him/her?

19. To what extent does your supervisor attempt to work out conflicts within your work group?

20. To what extent does your supervisor encourage the people in your work group to exchange opinions and ideas?

21. To what extent does your supervisor encourage the people in your work group to work as a team?

22. To what extent does your supervisor stress a team goal?

23. To what extent does your supervisor encourage the members of your work group to give their best efforts?

24. To what extent does your supervisor expect high standards of performance from the members of your work group?

25. To what extent does your supervisor help you to improve your performance?

26. To what extent does your supervisor provide the assistance you need to plan, organize and schedule your work ahead of time?

27. To what extent does your supervisor offer you ideas to help solve job-related problems?

28. How friendly and easy to approach are the members of your work group?

29. When you talk with the members of your work group, to what extent do they pay attention to what you are saying?

30. To what extent are the members of your work group willing to listen to your problems?

31. To what extent do members of your work group take the responsibility for resolving disagreements and working out acceptable solutions?

32. To what extent do people in your work group exchange opinions and ideas?

33. How much do members of your work group encourage each other to work as a team?

34. How much do members in your work group stress a team goal?

35. How much do people in your work group encourage each other to give their best effort?

36. To what extent do people in your work group maintain high standards of performance?

37. To what extent do members in your work group help you find ways to improve your performance?

38. To what extent do members of your work group provide the assistance you need to plan, organize, and schedule your work ahead of time?

39. To what extent do members of your work group offer each other ideas for solving job-related problems?

40. To what extent does your work group plan together and coordinate its efforts?

41. To what extent do you have confidence and trust in the members of your work group?

42. To what extent is information about important events widely exchanged within your work group?

43. To what extent does your work group make good decisions and solve problems effectively?

44. To what extent do you get endlessly referred from person to person when you need help?

45. To what extent do you have to go through a lot of "red tape" to get things done?

46. To what extent do you get hemmed in by longstanding rules and regulations that no one seems to be able to explain?

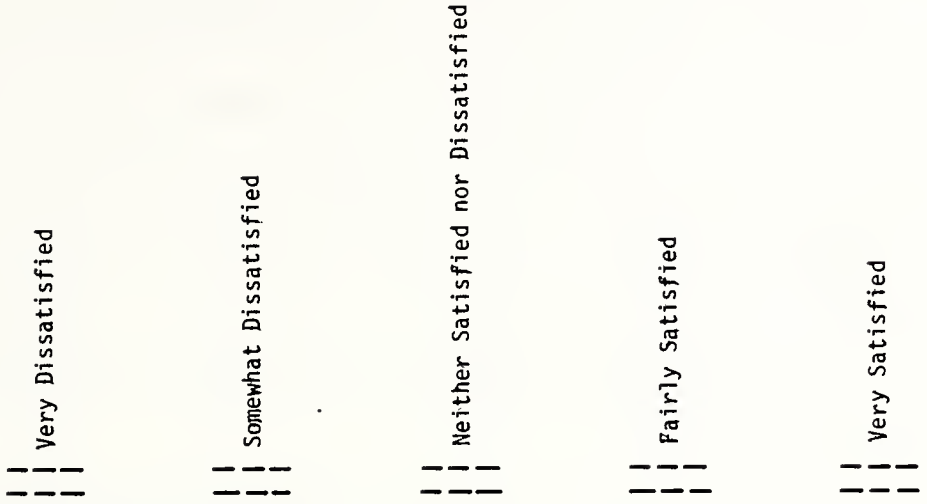
47. To what extent do members of your work group maintain appropriate standards of courtesy, appearance and grooming?

48. To what extent are appropriate standards of order and discipline maintained within your work group?

49. To what extent is your organization effective in getting you to meet its needs and contribute to its effectiveness?

50. To what extent does your organization do a good job of meeting your needs as an individual?

Questions 51 through 56 are answered, on the answer sheet, as shown below.



51. All in all, how satisfied are you with the people in your work group?

52. All in all, how satisfied are you with your supervisor?

53. All in all, how satisfied are you with this organization?

54. All in all, how satisfied are you with your job?

55. All in all, how satisfied do you feel with the progress you have made in the Department of the Navy, up to now?

56. How satisfied do you feel with your chances for getting ahead in the Department of the Navy in the future?

57. Does your assigned work give you pride and feelings of self worth?

58. Do you regard your duties in this organization as helping your career?

59. To what extent do lowest level supervisors influence what goes on in your department?

60. To what extent do non-supervisory personnel influence what goes on in your department?

61. To what extent is this organization adequately training you to perform your assigned tasks?

62. To what extent is this organization training you to accept increased leadership responsibility?

63. To what extent is this organization training you to accept increased technical responsibility?

64. To what extent do you feel free to report any racial/ethnic discrimination in this organization through proper channels?

65. To what extent does this organization ensure that you have equal opportunity for advancement in rate/rank/grade?

66. To what extent does this organization ensure that you have equal opportunity for job assignment?

67. To what extent do you feel free to report any sex discrimination in this organization through proper channels?

68. To what extent does this organization ensure that you have equal opportunity for education and training?

69. To what extent does this organization ensure that you receive a fair and objective performance evaluation?

70. To what extent is your chain of command (those above you) willing to take action on known or alleged racial/ethnic issues?

71. To what extent is discipline administered fairly throughout this organization?

72. To what extent are grievances and redress procedures available and well publicized in this organization?

73. In this organization work assignments are fairly made.

74. People in this organization discourage favoritism.

75. To what extent is your chain of command (those above you) willing to take action on known or alleged sex discrimination issues?

76. To what extent are current equal opportunity issues being addressed in this organization's Affirmative Action Plan (AAP)/Equal Employment Opportunity Program?

77. To what extent does this organization have an effective drug abuse prevention program?

78. To what extent do members of your work group discourage drug abuse?

79. To what extent would you feel free to talk to your supervisor about a drug problem in your work group?

80. To what extent is the performance of your work group affected by drug and/or alcohol related problems?

81. To what extent would you feel free to talk to your supervisor about an alcohol problem in your work group?

82. To what extent does this organization's program promote the responsible use or the non-use of alcoholic beverages?

83. To what extent do members of your work group discourage the abuse of alcoholic beverages?

84. To what extent do the social activities of this organization include alternatives to the use of alcohol?

85. To what extent do military and civilian personnel work cooperatively together to accomplish the goals of this organization?

86. To what extent are the lines of authority between civilians and military personnel clearly understood in this organization?

87. To what extent has this organization provided information to assist you and/or your family to live in this area?

88. To what extent are newly reported personnel quickly integrated into the activities and work of this organization?

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LIST OF FIGURES

1. French and Bell's Active System Model 36

2. Approaches To Organization Development 40

3. OD Typology and Techniques 50

4. System Factors in Organizational Change 62

5. Analysis Matrix 66

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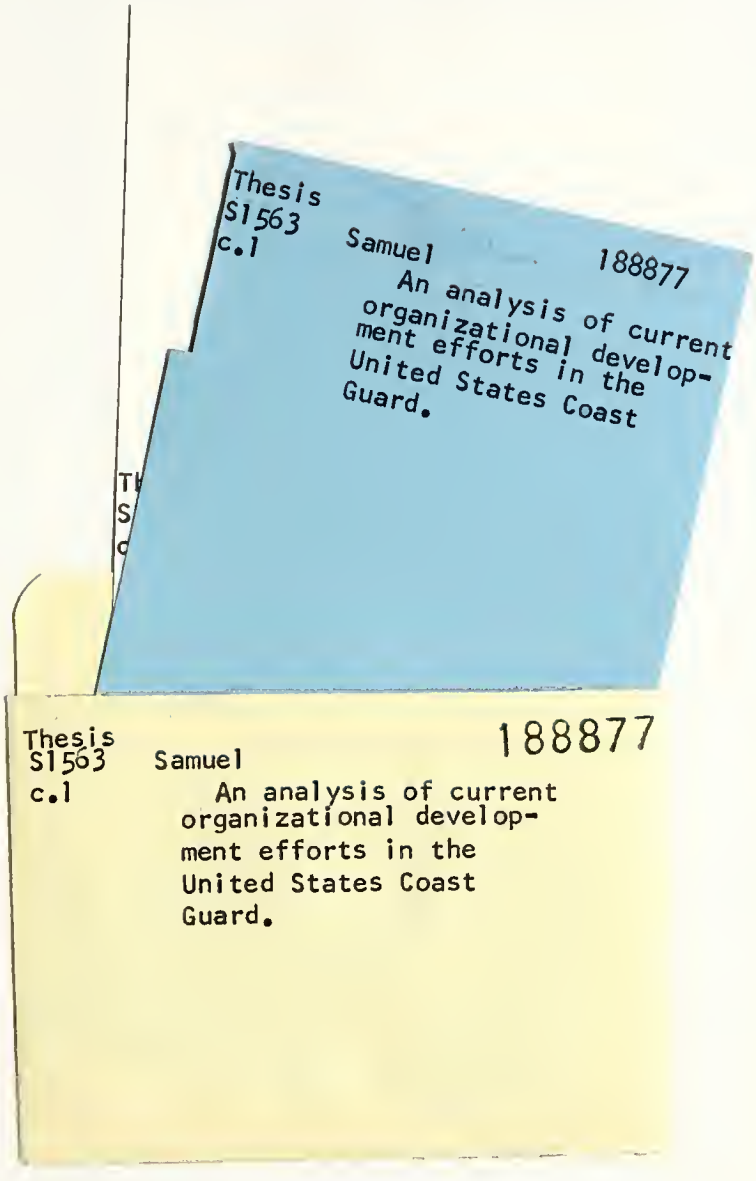
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